

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

**AMERICAN INDIAN CHILD ABUSE
TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**



April 2004

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PART I – INFORMATION

A. INTRODUCTION

This Request for Proposal (RFP) provides all of the information and forms necessary to prepare a proposal for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFP supersede all previous RFPs and any conflicting provisions stated in the *Grantee Handbook*. However, the *Grantee Handbook* provides helpful information you may wish to consult while developing your proposal. A copy can be obtained from website, www.oes.ca.gov. Applicant can select "Criminal Justice Programs Division, Plans and Publications, Grantee Handbook" to access the *Grantee Handbook*.

B. CONTACT INFORMATION

Questions concerning this RFP, the application process, or programmatic issues, should be submitted to Roseann St.Clair, Senior Program Specialist at roseann.stclair@oes.ca.gov, by telephone at (916) 323-7729, or by fax at (916) 324-8554.

Contact information is provided above; however, OES staff cannot assist applicant with the actual preparation of its proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, OES can only respond to technical questions about the RFP submitted by fax or e-mail.

C. PROPOSAL DUE DATE

To submit a proposal, applicant must deliver the proposal to OES **by 5:00 p.m.** on the due date, or mail the proposal postmarked by the due date.

The Due Date Is: June 22, 2004.

All proposals delivered in person will be time stamped by OES. **Late proposals will be deemed ineligible for funding.** Applicant must submit **one original and three copies** of the proposal to:

Governor's Office of Emergency Services
Criminal Justice Programs Division
P.O. Box 419047
Rancho Cordova, CA 95741-9047
Attn: American Indian Child Abuse Treatment Program RFP – Children's Section
or

If sending proposal by **overnight delivery**, submit to:

Governor's Office of Emergency Services
Criminal Justice Programs Division
3650 Schriever Avenue
Mather, CA 95655
Attn: American Indian Child Abuse Treatment Program RFP – Children's Section

If the proposal will be **hand-delivered**, it should be delivered to the Governor's Office of Emergency Services, 1130 K Street, Suite 300, Sacramento. Please note the following: 1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. A Bank of America is located on the first floor of this building. Please note that K Street is a pedestrian mall. Indoor parking structures are located on the east side of 12th Street between K and L Streets (connected to the Hyatt Regency Hotel), and on 10th Street between K and L Streets. Street parking is limited and requires quarters for parking meters. Once you enter the building at 1130 K Street, take the elevator to the third floor and proceed straight down the hall to the Receptionist Office behind the double wooden doors labeled "State of California: Governor's Office of Emergency Services." The proposal will be date stamped and you may request a receipt.

D. ELIGIBILITY

The Governor's Office of Emergency Services intends to fund approximately six agencies in California offering comprehensive treatment services to American Indian child victims of abuse and neglect, through the American Indian Child Abuse Treatment Program (AI CHAT). Funds for the AI CHAT Program are authorized by Victims of Crime Act (VOCA) of 1984, as amended, 42 U.S.C. 10601, *et seq.*

Only American Indian tribes or consortium of tribes located on a reservation or in the catchment area as defined by the Bureau of Indian Affairs, or American Indian organizations providing services in urban communities, are eligible to apply. Applicant must be an established and financially solvent agency with a history of providing ongoing mental health services to American Indian child victims of abuse and neglect.

Applicant must currently provide services to child victims of abuse and neglect. Eligible applicant must propose services for all American Indian child victims residing on the reservation, the catchment area, or in the metropolitan communities served by the urban American Indian applicant organization.

Federal agencies and in-patient treatment facilities are not eligible to apply.

E. FUNDING CYCLE AND DURATION

The funding cycle for AI CHAT Program is for an indefinite period of time based conditionally on the availability of VOCA funds and contingent upon satisfactory performance of the agency. The initial 12-month period will commence on **October 1, 2004**, and end on **September 30, 2005**. Each subsequent 12-month grant award period will be automatically renewed each October 1, via a reapplication process and contingent on the availability of VOCA funds.

American Indian tribes or organizations defined as any tribe, band, nation, or other organized group or community, may be eligible for a five percent (5%) match requirement. To qualify for the five percent (5%) match, American Indian tribes and organizations must be physically located on a reservation or the catchment area. Otherwise, the match must be calculated at twenty percent (20%) based on total project cost.

Federal monies must not be used to meet the match requirement.

It is anticipated there will be approximately \$1,050,000 of VOCA funds for Fiscal Year (FY) 2004/05. The intention of OES is to fund approximately six projects throughout the state at \$175,000 each. OES reserves the right to decrease the maximum amount of funds awarded per

project, as well as the number of projects to be funded, depending on the final amount of VOCA funds allocated for the AI CHAT Program.

F. PROGRAM INFORMATION

It is important to recognize the unique legal and political relationship American Indian Tribes have with the United States government. Federal treaties, statutes, and Supreme Court decisions define this relationship.

The Indian Child Welfare Act (ICWA) is based on the finding in 25 U.S.C. Section 1901(5) Congress found that “the States, exercising their recognized jurisdiction over American Indian child custody proceedings through administrative and judicial bodies, have often failed to recognize the essential Tribal relations of American Indian people and the cultural and social standards prevailing in American Indian communities and families.”

There are two important, but distinct considerations that underlie the provisions of ICWA and the federal best interest standard making application of the Act important to all American Indian children: a) cultural considerations; and b) political status.

The cultural considerations are the concern for Tribal culture and heritage. The Act acknowledges a special relationship between Tribes and the federal government, and seeks to protect essential Tribal relations. The nature of these relationships, both between Tribes and the federal government, and between the Tribes and their members, are premised on more than cultural considerations.

American Indian members of Tribes are also separate political groups. American Indian Tribes stand in a government-to-government relationship with the United States.

California Tribes are both numerous and diverse, reflecting the State's rich past; California has the largest American Indian population in the nation. As of 2000, the Bureau of Indian Affairs recognizes 124 California Tribes. Membership rolls range from under eight people for smaller Tribes to the Yurok Nation with over 4,000 members. California's American Indian population also includes a substantial number of people from out-of-state Tribes having relocated to California.

California is home to approximately 30 unrecognized Tribes. Between 1954 and 1966, the United State Congress terminated (disbanded) over one hundred Tribes, most of them in Oregon and California. A shift in federal policy ended the termination era and ushered in a period of critical examination of the termination process. Tribal status began to be reestablished. However, since Tribal existence had been interrupted for twenty to thirty years, it is not uncommon to encounter previously terminated, but now recognized Tribes in early stages of organization.

The California Department of Social Services recognizes the importance of the ICWA to the cultural heritage of American Indian children and to the preservation of Indian Nations. The report *American Indian/Alaska Native Children in the Child Welfare Services Program*, will provide a benchmark for documenting on-going efforts to improve statewide compliance with ICWA through enhanced practices in the field. These efforts include proper and accurate identification of Indian children; proper and timely notification to the child's Tribe as soon as the child comes to the attention of the child welfare system; provision of culturally appropriate services to strengthen American Indian families; and appropriate placement decision-making and case planning for American Indian children where removal is necessary.

County child welfare agencies in California provide primary statewide intervention services for abused, neglected, and exploited children. The services provided include emergency response,

family maintenance, family reunification, and permanent placement. The goal is to protect children at risk of abuse, neglect, and exploitation through an integrated services delivery system, and to provide intensive services to families to ensure safety and permanence allowing the family members to remain together in their home.

- Emergency response consists of 24-hours a-day in-person coverage to respond to reports of abuse, neglect, or exploitation of children to investigate and determine the necessity for providing services. The County Welfare Departments (CWDs) conduct investigations to determine the potential for or existence of abuse or neglect, and identify/provide needed services.
- Family Maintenance services are designed to provide time-limited protective services to prevent or remedy neglect, abuse, or exploitation for the purpose of preventing separation of children from their families. CWDs are responsible for determining the specific service needs of the child and family aimed at sustaining the child in the home.
- Family Reunification services are designed to provide time-limited services while the child is placed in temporary foster care to prevent or remedy neglect, abuse, or exploitation when the child cannot safely remain in the home. CWDs are responsible for determining the specific service needs of the child and/or family aimed at reunifying the child with the family.
- Permanent Placement services are designed to provide an alternative permanent family structure for children who, due to abuse, neglect, or exploitation, cannot safely remain at home or are unlikely to ever return home. The CWDs are responsible for determining the appropriate permanent goal for the child and facilitating the implementation of that goal, such as guardianship, adoption, or long-term placement.

In the year 2000, the child population in California was estimated at 9,800,000, of which one percent (1%) was American Indian according to *American Indian/Alaska Native Children in the Child Welfare Services Program*, (California Department of Social Services). Additionally, of the 520,711 referrals made, 5,101 or one percent (1%) were for American Indian children. Of the 5,101 referred, thirty-three percent (33%) were for abuse, fifty-eight percent (58%) for neglect, nine percent (9%) for at-risk, and one percent (1%) for exploitation.

The California Welfare System documents Tribal enrollment status. This information is important since the ICWA gives the Tribe the opportunity to be a party to court proceedings involving American Indian children in the child welfare services program. In the year 2000, Tribal enrollment status information was reported for 4,551 children. Sixty-nine percent (69%) of the children had a Tribal status of eligible/enrolled as American Indian, and twelve percent (12%) had Tribal enrollment pending verification.

Of the 146,593 children placed in out-of-home placement (foster care), 2,156 were American Indian children. The reasons for removal of American Indian children from their homes were neglect - thirty-nine percent (39%), caretaker absence - thirty percent (30%), abuse - fifteen percent (15%) relinquishment - one percent (1%), and other - fifteen percent (15%). Neglect was the most common reason for removal followed by caretaker absence for all children entering out-of-home placement. Except for African American children, American Indian children had the highest proportional participation in the child welfare services program and out-of-home placement at 51 per 1,000, and 39 per 1,000, compared to Caucasian children at 18 per 1,000, and 13 per 1,000 for the same child welfare services program and out-of-home placements.

The referral and foster care placement rates were higher for American Indian children; however, the adoption rate for American Indian children was generally consistent with other race/ethnicity groups (American Indian – 5 per 10,000, Hispanic – 5 per 10,000, and Caucasian - 7 per 10,000). Approximately twenty-four percent (24%) of American Indian children were adopted by American Indian families, as compared to fifty percent (50%) for African American, Hispanic, and Caucasian children.

A random sample of 141 cases were identified from the over 2,000 American Indian children that received services in 2000, and of those:

- 51 cases had an ICWA eligibility indicator, and forty-five percent 45% had documentation regarding Tribal involvement;
- 101 cases in which the children were placed in out-of-home care, and 56 were placed with relative care providers or in an American Indian home;
- Of all these cases fifty percent (50%) of the parents had a substance abuse problem;
- Of the children removed from the home, eighty-four percent (84%) had parents with alcohol and/or substance abuse issues, and fifty-three percent (53%) of the children that were removed from their homes, had neglect noted as the abuse type.

The reason for children entering out-of-home placement (foster care) is primarily due to neglect and physical abuse. A high number of these children suffer from mental health conditions and have multiple needs due to the abuse and neglect experienced at home, the trauma of being separated from their parents, and the uncertainty they face entering the foster care system. The incidence of emotional and behavioral problems and developmental delays are high and several times greater among foster children in comparison with children not in foster care. Since most services are limited or lacking altogether, this population's primary barrier is access to mental health services. Another barrier is proper diagnosis; many children are diagnosed improperly, or not diagnosed at all. The diagnosis impacts treatment and access to services. The lack of coordination among mental health, child welfare, juvenile justice, and other child agencies, affects the ability of children in foster care to get effective services. (*Overview of California's Foster Care: Foster Care Fundamentals, California Research Bureau, California State Library, December 2001.*)

However, the majority of the children in the child welfare system are not in foster care. Statewide, county social workers investigate over half a million reports of child abuse and neglect each year; approximately a quarter are substantiated. In cases where reports are substantiated, social workers provide services to most families while the child remains at home. The child welfare and foster care systems cannot serve children and families in isolation. Health, mental health, substance abuse, education, public welfare, family violence, and other systems play essential roles in ensuring the child's safety and strengthening families. However, there are often conflicting goals and timelines among systems, and many services are in short supply or lacking altogether. (*Overview of California's Foster Care: Foster Care Fundamentals, California Research Bureau, California State Library, December 2001.*)

Children witnessing domestic violence often present with maladaptive behaviors, conduct disorders, adjustment disorders, oppositional defiant disorders, mood disorders, and poor academic performance. Family violence contributes to many social, educational, and health problems. In homes where there is domestic violence, there is usually violence against children.

The high prevalence of children witnessing domestic violence, with the co-occurrence of other types of abuse, suggests safety issues. Issues inherent of domestic violence must be integrated as a standard consideration in child abuse treatment programs. In accordance with Penal Code

Section 13732, agencies offering services to child abuse and domestic violence victims should collaborate in order to improve and integrate service delivery to families experiencing violence. Agencies should also collaborate in the manner in which law enforcement, child welfare agencies, prosecution, child abuse and domestic violence experts, and community-based organizations respond to incidents of domestic violence in homes in which children reside.

Applicant is to consider the above and ensuing information when developing and writing the proposal for the American Indian Child Abuse Treatment Program (AI CHAT).

1. Clients to be Served

Applicant must provide comprehensive direct services to American Indian children who are dependents of the court, and/or children in the child welfare system, regardless of tribal or religious affiliation, who are under the age of 18 and are victims of abuse, neglect, domestic violence, school violence, community violence, and abduction who do not have access to services due to non-availability of services, lack of resources, and non-eligibility for any other program or services.

a. Child Abuse and Neglect Definitions

Child Abuse: Includes physical injury inflicted by other than accidental means upon a child by another person and includes acts and on occasion failure to act which endangers or impairs a child's physical or emotional health; sexual abuse as defined in Penal Code Section 11165.1; neglect as defined in Penal Code Section 11165.2; willful cruelty or unjustifiable punishment as defined in Penal Code Section 11165.3; and unlawful corporal punishment or injury as defined in Penal Code Section 11165.4. It also includes a child suffering from traumatizing events perpetrated within the family and/or at school and/or in the community where he or she lives.

Child abuse includes:

1) Physical

Refers to any non-accidental act that results in physical injury. Inflicted physical injury most often represents unreasonably severe corporal punishment or unjustifiable punishment. These acts include, but are not limited to, intentional and deliberate assault, such as burning, biting, cutting, poking, twisting limbs, punching, hitting, shaking, throwing the child, or torturing a child which inflicts unjustifiable physical pain or mental suffering [Penal Code Section 11165.6].

2) Sexual

Refers to sexual assault, includes but are not limited to, any sexual contact, intrusion, penetration, intentional touching, fondling or other sexual conduct affecting the genitals or intimate parts of a child for purposes of sexual arousal or gratification of the perpetrator [Penal Code Sections 11165.1(a) and (b)].

3) Sexual Exploitation

Refers to any conduct involving matter depicting a minor engaged in obscene acts, or promoting a child to engage in or assist to engage in prostitution, performance or posing or modeling or photographing or filming a minor involving obscene sexual conduct (pornography) [Penal Code Section 11165.1 (c)].

4) Unlawful Sexual Intercourse

Refers to an act of sexual intercourse with a person who is not the spouse of the perpetrator, if the person is a minor, and the perpetrator is at least 18 years old [Penal Code Section 261.5].

5) Willful Cruelty or Unjustifiable Punishment

Refers to a situation where any person willfully causes or permits any child to suffer, or inflicts thereon, unjustifiable physical pain or mental suffering, or having the care or custody of any child, willfully causes or permits the person or health of the child to be placed in a situation such that his or her person or health is endangered [Penal Code Section 11165.3].

6) Unlawful Corporal Punishment or Injury

Refers to a situation where any person willfully inflicts upon any child any cruel or inhuman corporal punishment or injury resulting in a traumatic condition [Penal Code Section 11165.4].

7) Emotional

Refers to acts or omissions (deprivations) by the parents and/or caregivers causing serious cognitive, emotional, or mental disorders. It includes, but is not limited to, using extreme or bizarre forms of punishment, torture, verbal assaults such as habitual humiliation, screaming, threatening, blaming, berating, terrorizing, rejecting, using sarcasm, and demeaning the child.

8) Abandonment

Refers to the failure by a parent to provide food, shelter, clothing, medical attention or other remedial care, education, and deserting the child in any place with the intent to abandon.

9) Domestic Violence

Refers to abuse intentionally or recklessly causing or attempting to cause bodily injury, or placing another person in reasonable apprehension of imminent serious bodily injury to himself or herself, or another committed against an adult or a minor who is a spouse, cohabitant, former cohabitant, or person with whom the suspect has had a child or is having or has had a dating or engagement relationship [Penal Code Section 13700].

10) Child Maltreatment in the Community

Refers to violence witnessed in the neighborhood, school, or community, and hate crimes. The Hate Crime Statistics Act of 1990 defines hate crimes as crimes that manifest evidence of prejudice based on race, religion, sexual orientation, or ethnicity, including where appropriate the assault, simple assault, intimidation, arson, and destruction, damage or vandalism of property.

11) Child Abduction

Refers to abduction by a family or non-family member, who not having a right to custody maliciously takes, entices away, keeps, withholds, or conceals any child with the intent to detain or conceal that child from a lawful custodian or a person of a right to visitation [Penal Code Sections 277 – 278.5].

b. Neglect

Includes both acts and omissions indicating harm or threatened harm to the child's health or welfare on the part of the parent or caregiver.

Child neglect includes:

1) Severe Neglect

Refers to the failure of a person having the care or custody of a child to protect the child from severe malnutrition or medically diagnosed non-organic failure to thrive. It includes those situations of neglect where the parent or caregiver willfully causes, or permits the person or health of the child to be endangered by depriving the child of adequate food, clothing, shelter, or medical care [Penal Code Section 11165.3].

2) General Neglect

Refers to the failure of a parent or caregiver to provide adequate food, clothing, shelter, medical care, or supervision where no physical injury to the child has occurred [Penal Code Section 11165.2].

2. VOCA Guidelines

Applicant must adhere to the following VOCA allowable costs and guidelines. For the purpose of the AI CHAT Program, the crime victim is solely the child victim under 18 years of age. Services to the non-offending family member are allowable expenses only when the services are in support of the well being of the child and the child's therapeutic treatment plan.

a. Allowable Costs for Direct Services

Following is a list of services, activities, and costs eligible for support with VOCA funds:

1) Immediate Health and Safety

Those services which respond to the immediate emotional and physical needs (excluding medical care) of crime victims such as crisis intervention; accompaniment to hospitals for medical examinations; hotline counseling; emergency food, clothing, transportation, and shelter (including emergency, short-term nursing home shelter for elder abuse victims for whom no other safe, short-term residence is available); and other emergency services that are intended to restore the victim's sense of security. This includes services which offer an immediate measure of safety to crime victims such as boarding-up broken windows and replacing or repairing locks. Also allowable is emergency legal assistance such as filing restraining orders and obtaining emergency custody/visitation rights when such actions are directly connected to family violence cases and are taken to ensure the health and safety of the victim.

2) Mental Health Assistance

Those services and activities that assist the primary and secondary victims of crime in understanding the dynamics of victimization, and in stabilizing their lives after a victimization such as counseling, group treatment, and therapy. "Therapy" refers to intensive professional psychological/psychiatric treatment for individuals, couples, and family members related to counseling to provide emotional support in crises arising from the occurrence of crime. This includes the evaluation of mental health needs, as well as the actual delivery of psychotherapy either by a licensed or non-licensed clinician.

3) Assistance with Participation in Criminal Justice Proceedings

In addition to the cost of emergency legal services noted above in section a. "Immediate Health and Safety," there are other costs associated with helping victims participate in the criminal justice system that also are allowable. These services may include advocacy on behalf of crime victims; accompaniment to criminal justice offices and court; transportation to court; child care or respite care to enable a victim to attend court; notification of victims regarding trial dates, case disposition information, and parole consideration procedures; and assistance with victim impact statements. State grantees may also fund projects devoted to restitution advocacy on behalf of specific crime victims. VOCA funds cannot be used to pay for non-emergency legal representation such as for divorces, or civil restitution recovery efforts.

4) Forensic Examinations

For sexual assault victims, forensic exams are allowable costs only to the extent that other funding sources (such as state compensation or private insurance or public benefits) are unavailable or insufficient and, such exams conform with state evidentiary collection requirements. State grantees should establish procedures to monitor the use of VOCA victim assistance funds to pay for forensic examinations in sexual assault cases.

5) Costs Necessary and Essential to Providing Direct Services

Prorated costs of rent, telephone service, transportation costs for victims to receive services, emergency transportation costs that enable a victim to participate in the criminal justice system, and local travel expenses for service providers.

6) Special Services

Services to assist crime victims with managing practical problems created by the victimization such as acting on behalf of the victim with other service providers, creditors, or employers; assisting the victim to recover property that is retained as evidence; assisting in filing for compensation benefits; and helping to apply for public assistance.

7) Personnel Costs

Costs that are directly related to providing direct services, such as staff salaries and fringe benefits, including malpractice insurance; the cost of advertising to recruit VOCA-funded personnel; and the cost of training paid and volunteer staff.

8) Restorative Justice

Opportunities for crime victims to meet with perpetrators, if such meetings are requested or voluntarily agreed to by the victim and have possible beneficial or therapeutic value to crime victims.

State grantees that plan to fund this type of service should closely review the criteria for conducting these meetings. At a minimum, the following should be considered: (1) the safety and security of the victim; (2) the benefit or therapeutic value to the victim; (3) the procedures for ensuring that participation of the victim and offender are voluntary and that everyone understands the nature of the meeting; (4) the provision of appropriate support and accompaniment for the victim; (5) appropriate “debriefing” opportunities for the victim after the meeting or panel; (6) the credentials of the facilitators; and (7) the opportunity for a crime victim to withdraw from the process at any time. State grantees are encouraged to discuss proposals with the Office for Victims of Crime (OVC) prior to awarding VOCA funds for this type of activity. VOCA assistance funds cannot be used for victim-offender meetings which serve to replace criminal justice proceedings.

b. Other Allowable Costs and Services

The services, activities, and costs listed below are not generally considered direct crime victim services, but are often a necessary and essential activity to ensure that quality direct services are provided. Before these costs can be supported with VOCA funds, the state grantee and sub-grantee must agree that direct services to crime victims cannot be offered without support for these expenses; that the sub-grantee has no other source of support for them; and that only limited amounts of VOCA funds will be used for these purposes. The following list provides examples of such items:

1) Skills Training for Staff

VOCA funds designated for training are to be used exclusively for developing the skills of direct service providers including paid staff and volunteers, so that they are better able to offer quality services to crime victims. An example of skills development is training focused on how to respond to a victim in crisis.

VOCA funds can be used for training both VOCA-funded and non-VOCA-funded service providers who work within a VOCA sub-grantee organization, but VOCA funds cannot be used for management and administrative training for executive directors, board members, and other individuals that do not provide direct services.

2) Training Materials

VOCA funds can be used to purchase materials such as books, training manuals, and videos for direct service providers, within the VOCA-funded organization, and can support the costs of a trainer for in-service staff development. Staff from other organizations can attend in-service training activities that are held for the sub-grantee’s staff.

3) Training Related Travel

VOCA funds can support costs such as travel, meals, lodging, and registration fees to attend training within the state or a similar geographic area. This limitation encourages state grantees and sub-grantee to first look for available training within their immediate geographical area, as travel costs will be minimal. However, when needed training is unavailable within the immediate geographical area, state grantees may authorize using VOCA funds to support training outside of the geographical area. For example, VOCA grantees may benefit by attending national conferences that offer skills building training workshops for victim assistance providers.

4) Equipment and Furniture

VOCA funds may be used to purchase furniture and equipment that provides or enhances direct services to crime victims, as demonstrated by the VOCA sub-grantee. VOCA funds cannot support the entire cost of an item that is not used exclusively for victim-related activities. However, VOCA funds can support a prorated share of such an item. In addition, sub-grantee cannot use VOCA funds to purchase equipment for another organization or individual to perform a victim-related service. Examples of allowable costs may include beepers; typewriters and word processors; videotape cameras and players for interviewing children; two-way mirrors; and equipment and furniture for shelters, work spaces, victim waiting rooms, and children's play area.

The costs of furniture, equipment such as Braille equipment or TTY/TTD machines for the deaf, or minor building alterations/improvements that make victims services more accessible to persons with disabilities are allowable. Refer to the Office of Justice Programs (OJP) Financial Guide, effective edition, before these types of decisions are made.

5) Purchasing or Leasing Vehicles

VOCA funds may be used to purchase or lease vehicles if it can demonstrate to the state VOCA administrator that such an expenditure is essential to delivering services to crime victims. The VOCA administrator must give prior approval for all such purchases.

6) Advanced Technologies

At times computers may increase a sub-grantee's ability to reach and serve crime victims. For example, automated victim notification systems have dramatically improved the efficiency of victim notification and enhanced victim security.

Subgrantees must describe how the computer equipment will enhance services to crime victims; how it will be integrated into and/or enhance the sub-grantee's current system; the cost of installation; the cost of training staff to use the computer equipment; the ongoing operational costs, such as maintenance agreements, supplies; and how these additional costs will be supported. Property insurance is an allowable expense as long as VOCA funds support a prorated share of the cost of the insurance payments.

7) Contracts for Professional Services

VOCA funds generally should not be used to support contract services. At times, however, it may be necessary for VOCA sub-grantees to use a portion of the VOCA grant to contract for specialized services. Examples of these services include assistance in filing restraining orders or establishing emergency custody/visitation rights (the provider must have a demonstrated history of advocacy on behalf of domestic violence victims); forensic examinations on a sexual assault victim to the extent that other funding sources are unavailable or insufficient; emergency psychological or psychiatric services; or sign and/or interpretation for the deaf or for crime victims whose primary language is not English. Sub-grantees are prohibited from using a majority of VOCA funds for contracted services which contain administrative, overhead, and other indirect costs included in the hourly or daily rate.

8) Operating Costs

Includes supplies; equipment use fees when supported by usage logs; printing, photocopying, postage; brochures which describe available services; and books and other victim-related materials. VOCA funds may support administrative time to complete VOCA-required time and attendance sheets and programmatic documentation, reports, and statistics; administrative time to maintain crime victims' records; and the prorated share of audit costs.

9) Supervision of Direct Service Providers

VOCA funds may be used for supervision of direct service providers when they determine that such supervision is necessary and essential to providing direct services to crime victims. For example, VOCA funds to support a coordinator of volunteers or interns is a cost-effective way of serving more crime victims.

10) Repair and/or Replacement of Essential Items

VOCA funds may be used for repair or replacement of items that contribute to maintaining a healthy and/or safe environment for crime victims, such as a furnace in a shelter. In the event that a vehicle is purchased with VOCA funds, related items such as routine maintenance and repair costs and automobile insurance are allowable. Sub-grantees must ensure the following: (1) that the building or vehicle is owned by the sub-grantee organization and not rented or leased; (2) all other sources of funding have been exhausted; (3) there is no available option for providing the service in another location; (4) that the cost of the repair or replacement is reasonable considering the value of the building or vehicle; and (5) the cost of the repair or replacement is prorated among all sources of income.

11) Public Presentations

VOCA funds may be used to support presentations that are made in schools, community centers, or other public forums, and that are designed to identify crime victims and provide or refer them to needed services. Specifically, activities and costs related to such programs including presentation materials, brochures, and newspaper notices can be supported by VOCA funds.

c. Non-allowable Costs and Activities

The following services, activities, and costs, although not exhaustive, cannot be supported with VOCA victim assistance grant funds at the sub-grantee level:

1) Lobbying and Administrative

VOCA funds cannot support victim legislation or administrative reform, whether conducted directly or indirectly.

2) Perpetrator Rehabilitation and Counseling

Sub-grantees cannot knowingly use VOCA funds to offer rehabilitative services to offenders. Likewise, VOCA funds cannot support services to incarcerated individuals, even when the service pertains to the victimization of that individual.

3) Needs, Assessments, Surveys, Evaluations, Studies

VOCA funds may not be used to pay for efforts conducted by individuals, organizations, task forces, or special commissions to study and/or research particular crime victim issues.

4) Prosecution Activities

VOCA funds cannot be used to pay for activities that are directed at prosecuting an offender and/or improving the criminal justice system's effectiveness and efficiency, such as witness notification and management activities and expert testimony at a trial. In addition, victim witness protection costs and subsequent lodging and meal expenses are considered part of the criminal justice agency's responsibility and cannot be supported with VOCA funds.

5) Fundraising Activities

VOCA funds cannot be used for fundraising.

6) Indirect Organizational Costs

The costs of liability insurance on buildings, capital improvements, security guards and bodyguards, property losses and expenses, real estate purchases, mortgage payments, and construction may not be supported with VOCA funds.

7) Property Loss

Reimbursing crime victims for expenses incurred as a result of a crime such as insurance deductibles, replacement of stolen property, funeral expenses, lost wages, and medical bills is not allowed.

8) Most Medical Costs

VOCA funds cannot pay for nursing home care (emergency short-term nursing home shelter as described in Section IV.E.1.a. is allowable), home health-care costs, in-patient treatment costs, hospital care, and other types of emergency and non-emergency medical and/or dental treatment. VOCA victim assistance grant funds

cannot support medical costs resulting from a victimization, except for forensic medical examinations for sexual assault victims.

9) Relocation Expenses

VOCA funds cannot support relocation expenses for crime victims such as moving expenses, security deposits on housing, ongoing rent, and mortgage payments. However, VOCA funds may be used to support staff time in locating resources to assist victims with these expenses.

10) Administrative Staff Expenses

Salaries, fees, and reimbursable expenses associated with administrators, board members, executive directors, consultants, coordinators, and other individuals unless these expenses are incurred while providing direct services to crime victims, are not allowable.

11) Development of Protocols, Interagency Agreements, and Other Working Agreements

These activities benefit crime victims, but they are considered examples of the types of activities that sub-grantees undertake as part of their role as a victim services organization, which in turn qualifies them as an eligible VOCA sub-grantee.

12) Costs of Sending Individual Crime Victims to Conferences

VOCA funds cannot be used to send crime victims to conferences.

13) Activities Exclusively Related to Crime Prevention

VOCA funds cannot be used for activities exclusively related to crime prevention.

3. Mandated Program Objectives

Applicant must incorporate into the AI CHAT Program the four measurable primary objectives:

a. Objective 1: Provide Therapeutic Services and/or Culturally Centered Services

The applicant must provide one or both of the following treatment services to American Indian child victims:

Therapeutic services refer to intensive psychotherapy services provided by a licensed clinician to child victims. Treatment modalities should include individual and/or group mental health counseling; Parent-Child Interaction Therapy (PCIT); and/or conjoint family therapy.

Culturally centered services refer to services provided by a licensed or non-licensed therapist based on traditional culturally centered therapy. This service must be provided within acceptable cultural practices approved by the project's board of directors, and must also be approved by OES.

If the applicant chooses to implement both types of therapy, there must be a plan to coordinate service delivery among all the treatment service providers. Providers must collaborate in the assessment, service plan development, ongoing service provision, periodic review of the child victim's progress, and termination of services.

b. Objective 2: Assistance in Filing Application for Victim Compensation Program

This objective refers to assistance offered to American Indian child victims and non-offending family members and/or caregivers who may be eligible to seek victim compensation. Assistance may include providing information about the availability of the Victim Compensation Program (VCP), explaining the procedure, assisting them with application forms, obtaining required documentation, tracking information related to the claim, and in the event of a denial of the claim, provide assistance for an appeal.

For your information only: The VCP is administered by the California Victim Compensation and Government Claims Board (The Board). This program is available to aid individuals who have been victims of a crime. This can be a valuable resource to crime victims who wish to obtain outpatient psychotherapy to ameliorate the effects of the crime. A qualifying crime is a crime in which there is threat of physical injury or death. Child abuse and domestic violence are generally qualifying crimes. A child witnessing incidents of domestic violence may qualify as a direct victim. Usually a custodial parent or legal guardian must file the application on behalf of a child victim. A American Indian child who is a dependent of the court may qualify for the VCP if he/she is the victim of a qualifying crime. The dependent child's social worker or another person designated by the court must submit an application to the VCP. The Board will make a determination about the eligibility of the claim.

NOTE: Victims are not eligible to submit claims for reimbursement of services provided with VOCA funds while under the AI CHAT Program. Once a child victim is approved for VCP benefits, the child victim may no longer receive therapeutic services paid by the AI CHAT Program until such time as VCP benefits are exhausted. However, the American Indian child victim may continue receiving other AI CHAT Program services.

c. Objective 3: Provide Assistance, Advocacy and Support During Judicial Proceedings

This objective refers to the provision of assistance to American Indian child victims involved with the juvenile, family, and/or criminal division of the superior court. It includes providing services to make the judicial experience easier to understand such as familiarizing the American Indian child with the court setting and court process (refer to publications such as, *"What's Happening in Court – An Activity Book for Children Who are Going to Court in California"* by the Judicial Council of California – Center for Children and The Courts); providing basic information about the judicial system; preparing the child to testify; transportation to court sessions; providing accompaniment to court proceedings, provision of post-court services; and functions customarily provided by a paralegal, such as the filing of temporary restraining orders on behalf of the minor children.

d. Objective 4: Use of Volunteers

Projects are required to use volunteers who are trained in working with American Indian child abuse victims for the provision of appropriate support and advocacy services by working increments of time to add up to at least one full-time equivalent (FTE), unless there is a compelling reason to waive this requirement.

Court Appointed Special Advocates (CASA) cannot be used to fulfill the volunteer requirement.

4. Direct Services

Applicant must provide comprehensive services to American Indian child victims and to secondary victims such as minor siblings, outreach; intake; crisis intervention and stabilization; standardized assessments; individual psychotherapy and group mental health counseling to children; meeting with child's non-offending caregiver in order to help such caregiver assist with therapeutic services for the child; case management; advocacy and supportive services in participating in judicial proceedings; information and referral services; and assistance in filing application for VCP. Applicant must not charge child victims for services under the AI CHAT Program.

- a. The following are the general federal VOCA definitions of services to be provided to meet Mandated Objectives; for the purpose of the AI CHAT Program, the services are only to be provided to American Indian child victims, and to non-offending family members only when the services are in support of the well-being of the child and the child's therapeutic treatment plan:**

1) Counseling:

In-person crisis intervention, emotional support, guidance and counseling provided by advocates, counselors, mental health professionals, or peers. Such counseling may occur at the scene of the crime, immediately after a crime, or be provided on an ongoing basis.

2) Follow-Up:

In-person contacts, telephone contacts, and written communications with victims to offer emotional support, provide emphatic listening, or check on a victim's progress, etc.

3) Therapy:

Intensive professional psychological and/or psychiatric treatment for individuals, couples, and family members related to counseling to provide emotional support in a crisis arising from the occurrence of a crime. This includes the evaluation of mental health needs, as well as the actual delivery of psychotherapy.

4) Group Treatment/Support:

Coordination and provision of supportive group activities and includes self-help, peer, social support, etc.

5) Shelter/Safe House:

Offering short and long-term housing and related support services to victims and families following victimization.

6) Information/Referral (in-person):

In-person contacts with victims during which time services and available support are identified.

7) Telephone Contact (Information and Referral):

Contacts with victims during which time services and available support are identified. This does not include calls during which counseling is the primary function of the telephone call.

8) Criminal Justice Support/Advocacy:

Support, assistance, and advocacy provided to victims at any stage of the criminal justice process, to include post-sentencing services and support.

9) Emergency Financial Assistance:

Cash outlays for transportation, food, clothing, emergency housing, etc.

10) Emergency Legal Advocacy:

Filing temporary restraining orders, injunctions, and other protective orders, as well as child abuse petitions, but does not include criminal prosecution, or the employment of attorneys for non-emergency purposes, such as custody disputes, civil suits, etc.

11) Assistance in Filing Compensation Claims:

Making the victim aware of the availability of crime compensation, assisting the victim in completing the required forms, gathering the needed documentation, etc. It also may include follow-up contact with the victim compensation agency on behalf of the victim.

12) Personal Advocacy:

Assisting victims in securing rights, remedies, and services from other agencies; locating emergency financial assistance; intervening with employers, creditors, and others on behalf of the victim; assisting in filing for losses covered by public and private insurance programs including workman's compensation, unemployment benefits, welfare; accompanying the victim to the hospital, etc.

13) Other:

VOCA allowable services and activities not listed.

b. Mental Health Services

Applicant must ensure the mental health services are provided in a culturally sensitive and competent manner. Cultural definitions of family and what constitutes appropriate family dynamics, roles, and childrearing methods, can vary widely. There may be a great deal of within-group cultural variations due to acculturation, racial identity, and language, as well as intergenerational issues. It is essential individuals working with child victims be especially

attuned to cultural issues and how these affect family dynamics. Agency staff must have the ability to communicate with individuals from various cultures regarding cultural expectations, practices, and traditions. It is important services be delivered in a culturally sensitive and competent manner. To this end, professional development in the form of reading, in-service training, and consultation with other mental health professionals is recommended if the professional staff does not reflect the multi-languages and multi-cultures existing in the service area.

c. Children with Disabilities

Applicant must accommodate and provide children with disabilities access to its services: children with disabilities are at higher risk for becoming victims of all types of abuse when compared with children who do not have disabilities. Generally, the abuse is more often chronic and severe, with revictimization often caused by the same offender.

Developmental disabilities are defined as certain impairments occurring in childhood having a significant impact on a child's developmental process and progress. The term means a disability originating before an individual attains age 18, continues, or can be expected to continue indefinitely, and constitutes a substantial disability for that individual. It includes mental retardation, cerebral palsy, epilepsy, autism, communication, language and speech impairments, hearing impairment, deafness, vision impairment, and blindness.

Some children become disabled as a direct result of the abuse. Although children with disabilities are victimized at rates far exceeding those for other children, they are less likely to have their cases substantiated, and much less likely to be referred for psychotherapy. The family may not believe a child with a disability can benefit from psychotherapy, may be unaware of funding sources, or may lack knowledge about referral resources. It is important for practitioners to be aware in ninety-nine percent (99%) of abuse cases of children with disabilities, the perpetrator is known to and trusted by the child and the family; this is in contrast to approximately eighty-seven percent (87%) for children without disabilities. Issues of safety, trust, and abandonment are more significantly affected.

(Standards of Care – Mental Health Care – Task Force for Child Crime Victims Guidelines – California Victims Compensation and Government Claims Board, 2001.)

d. Services to Youth/Adolescents

Applicant must demonstrate its ability to work with public or private agencies providing services to youth/adolescents, by having current Operational Agreements with, at a minimum, the California Coalition for Youth, the California Workforce Investment Board's State or Local Youth Council, and centers serving the needs of runaway and homeless youth, and sexually exploited youth.

e. Coordination of Services

Applicant must have a goal of ensuring the congruency of services, consistency of care, and reduction of duplication of services. To achieve this goal, applicant must demonstrate the ability to proactively collaborate with other service providers who serve child victims and their family.

Applicant must promote within the community coordinated public and private efforts to aid child victims. This includes serving on state, federal, local, or American Indian task forces, commissions working groups, coalitions, and/or multidisciplinary teams. It also includes

developing written agreements which contribute to a better and more comprehensive delivery of services to crime victims.

Coordination of efforts enhances the applicant's qualifications to receive VOCA victim assistance funds, but are not activities supported with VOCA funds.

G. PREPARING A PROPOSAL

For clarity, the forms in Part III include a Proposal Cover Sheet. Please complete the Proposal Cover Sheet and attach it to the front of your proposal.

The following six components are required for a complete proposal:

- Proposal Cover Sheet;
- Grant Award Face Sheet (Form A301);
- Preference Points Certification Form;
- The Project Narrative;
- The Budget Narrative and the Project Budget (Forms A303a-c); and
- The Proposal Appendix.

NOTE: Failure to include all of the required components may result in a reduced score or disqualification. OES will not advise applicant that its proposal is incomplete prior to rating or disqualification.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the proposal components, as well as to the forms provided in Part III.

Applicant must use the forms provided or computer-generated forms, and plain 8½" x 11" white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OES forms and must not allow the applicant more space than that provided on the OES forms. Applicant must ensure information requested by the RFP instructions is included in the appropriate section of the proposal to receive credit. If a space limitation is specified for a component, strict adherence to the space limitation is required.

Proposal must be typed with characters no smaller than standard 12-pitch font. **Applicant must double-space all narrative sections of the proposal.**

Copies of the proposal must be assembled separately and individually fastened in the upper left corner. **Do not bind proposal.**

Failure to comply with these spacing/formatting requirements is one of the many factors that may negatively impact your comprehensive assessment score.

A. THE PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address that problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the proposed plan. Please consider the information provided under Section F. Program Information when preparing the project narrative.

The primary intent of the AI CHAT Program is to provide minimum standards of mental health services in the treatment of child victims, and the most effective practices for addressing the effects of emotional trauma in child victims of violent crimes as put forward in the *Mental Health Care for Child Crime Victims – Standards of Care Task Force Guidelines, 2001, Victims of Crime Program, California Victim Compensation and Government Claims Board*.

Applicant must provide comprehensive treatment services to children under the age of 18 who are victims of:

- Physical abuse, sexual abuse, sexual exploitation, and/or emotional abuse;
- Neglect, severe neglect, and/or general neglect;
- Domestic violence and/or witness to violence in the home;
- Parental chemical substance abuse;
- Child abduction by a family member or a non-family member; and/or
- Child maltreatment by exposure to violence in the school or community.

1. **Problem Statement**

The problem statement should include supportive American Indian data and statistics, and at least address:

- Geographical size and location;
- Population and demographical information;
- Prevalence of child abuse, neglect, domestic violence, school and community violence, and child abduction in Indian country;
- Services and resources currently available to children, a brief analysis of their strengths and weakness, availability, and accessibility;
- Types of services needed to address the victimization of children in Indian country; and
- Prevalence of statutory rape, sexual exploitation, dating violence, runaways, substance abuse, and other problems experienced by youth/adolescents in Indian country.

2. **Plan and Implementation**

Plan: This section of the project narrative should address the problem(s) and describe in detail the plan to treat all child victims residing in the applicant's service area.

Applicant must show its comprehension of the issues affecting child victims, providing intensive psychotherapy, and the methods and conditions of providing mental health treatment to child victims of maltreatment, including meeting the needs of infants, toddlers, preschoolers, school-aged children, and youth/adolescents using the premise of the best interest of the child as the guiding principle.

The AI CHAT Program may have a licensed psychologist, clinical social worker, marriage and family therapist, and/or cultural therapist.

If the agency will be using the services of clinical licensed staff, the staff must have basic skills to assess the impact of trauma, presenting problem(s), develop a diagnosis based on the *Diagnostic and Statistical Manual of Mental Disorders (DSM-IV)* published by the American Psychiatric Association, knowledge of differential diagnosis associated with children, and formulation of treatment plans consistent with the diagnosis. These skills must consist of effective treatment interventions, including but not limited to, play therapy, expressive and kinetic therapies, cognitive-behavioral therapy, social learning therapy, and parent-child interactive therapy (PCIT). These should include the use of standardized assessment instruments, including but not limited to, the Child Behavior Checklist (CBCL), Children's Global Assessment Scale (CGAS), the Global Assessment Relational Functioning (GARF), the Columbia Impairment Scale (CIS), the Trauma Symptom Checklist for Young Children (TSCYC), the Trauma Symptom Checklist for Children (TSCC), the Child Sexual Behavior Inventory (CSBI), the Children's Depression Inventory (CDI), and the Youth Self Report (YSR) to measure treatment outcomes.

The AI CHAT staff should possess a basic understanding of the dynamics of victimization; effects of trauma on children; impact of violence on children; impact of adverse childhood experiences and/or exposures; child development; the impact of trauma on the developmental stage of the child and early brain development; post-traumatic stress disorder symptoms in children and emergence of co-morbid disorders; issues related to attachment, grief, and loss; the stressors of out-of-home placements and the additional traumas consequential of social and legal interventions; working with dependent children of the court; working with children who have a concurrent plan of adoption; the influence of ethnicity and culture on the child;

issues related to children with developmental delays and disabilities; the implications for learning and learning disorders; interfacing with school personnel and other collateral contacts; recognition of all public systems and agencies active in the world of the child; the roles of child protective services, law enforcement, prosecutors, the juvenile, family, and/or criminal division of the superior court; and the Child Abuse and Neglect Reporting Act (CANRA) pursuant to Penal Code Sections 11164 – 11174.4.

Services to youth/adolescent perpetrators must **not** be provided while they are detained at a youth facility or at home; however, services may be provided upon their release even while on probation. The treatment plan should focus only on their histories of abuse, maltreatment, and trauma.

Services for non-offending family members and/or caregivers may be incorporated into the child victim's treatment plan **only** as an adjunct service by the child's therapist to enhance the therapeutic success for the child, and be the direct result of providing services to the child victim. Services under VOCA funds to non-offending family members and/or caregivers are not to be designed to address their own abuse histories or support their participation in self-help groups (e.g., Parents United and Parents Anonymous).

Applicant must describe its proposed service plan incorporating at least the following:

a. Intake

- Source(s) of referrals, the use of Operational Agreements, and other methods to generate referrals from sources such as county child welfare services, domestic violence shelters, law enforcement agencies, schools, county district attorney's offices, county juvenile probation department, youth councils, homeless youth and sexual exploitation programs, and other community-based agencies;
- Method for handling an initial contact on the telephone or in-person;
- Service delivery or response system to crisis situations and the staff's ability to assess emergency situations;
- Ability to provide accessible services to children with disabilities;
- How children with disabilities will be provided appropriate services;
- Methods of ensuring compliance with the CANRA pursuant to Penal Code Sections 11164 -11174.4;
- Ability to collaborate with child welfare service agencies, law enforcement agencies, juvenile probation, district attorney offices, victim/witness advocacy offices, multidisciplinary intervention teams, the juvenile, family, and/or criminal divisions of the superior court, court-appointed special advocate, schools, etc.;
- Methods for handling self-referrals from minors under and over the age of 12;
- Screening process to determine if the needs of the clients fit within the agency's scope of practice;
- Process of gathering relevant background, history of presenting problem, history of symptoms, presence and severity of behavioral symptoms, the nature and the history of the current allegation, and relevant individuals and systems involved in the case; and
- Process for obtaining releases of information and consent forms.

b. Clinical Psychotherapy Services

Psychotherapy means the use of psychosocial methods within a professional relationship, to assist the person or persons to achieve a better psychosocial adaptation; to acquire greater human realization of psychosocial potential and adaptation; to modify

internal and external conditions which affect individuals, groups, or communities in respect to behavior, emotions, and thinking in respect to their intrapersonal and interpersonal processes. [California Business and Professional Code Section 4996.9.]

1) Assessment

A mental health assessment is conducted for the purpose of diagnosis and treatment planning. The initial assessment provides the basis for developing an effective related treatment plan. A thorough assessment of how the crime has affected the child's life, captures the magnitude of the multiple and co-occurring types of abuse, constructs an understanding of the child victim's problems, and provides an initial diagnosis leading to the development of a treatment plan which will help the child recover.

A mental health assessment using a multimethod, multisource approach should be inclusive of both qualitative and quantitative information, observation and interviews with the child; standardized testing; evaluation of the child's overall functioning; determination if the traumatic events have impaired the child's functioning; determination of potential for danger to self and/or to others; determination of substance use and/or abuse; an initial working diagnosis; identify strengths and resources to support recovery; potential barriers to recovery; the need for mental health treatment; an assessment-informed treatment plan; relevant information through contacts with primary caregivers and contacts with collateral sources; and a review of case records.

Applicant must describe its assessment process including at least:

- How the initial assessment methodologies will determine how the crime has affected the child's life and the plan to what will help the child recover;
- How the assessment will be used to develop an effective treatment plan to address the specific crime-related treatment needs of the child;
- How culturally centered therapy facilitate the child victim's healing; and
- How the applicant will collaborate with county government agencies, and other individuals and service providers involved in the case.

2) Treatment Plan

Should include measurable goals and interventions consistent with the diagnosis. The plan should include both trauma-specific treatment interventions and other interventions as required for preexisting problems or co-occurring conditions; frequency and modality of sessions; type of treatment; and collateral treatment interventions. Assessment-based treatment is more likely to be focused and efficient since it provides a psychometric evaluation of client functioning, assists the clinician to identify the therapeutic targets, and supports the development of specific treatment goals.

Information provided by the *Evaluation of the California Child Abuse Treatment Program – Final Report of The California State University, Long Beach-November 2003*, stated the importance of collaborating with other agencies and service providers, particularly with schools. Most child victims reportedly experienced major or persistent problems in school performance and school attendance. School-related outcomes and improved interactions with peers were items recommended for consideration when formulating a treatment plan.

Applicant must describe its treatment process, and include at least:

- Formulation of individual treatment plans;
- General treatment modes, modalities and therapy tools used by therapists;
- Process to review and revise a child's treatment plan;
- How case conferencing occurs within the agency;
- Process for ongoing assessment of treatment progress and effectiveness;
- Process for consultative and clinical supervision;
- Ability of staff to provide advocacy services and types of advocacy services;
- Roles and duties of project staff, licensed clinicians, and culturally centered therapists who provide case management services, support services, and the type of support services to be provided in conjunction with the therapy;
- The system for supervision of project staff; and
- Process for collaboration with adjunctive services and external systems, and coordination among treatment providers.

3) Clinical Documentation

All licensed clinicians in California must maintain written records of patient contacts. For the purpose of this project, individuals providing culturally centered healing therapy must also adhere to these standards. The clinician must keep a record to document the treatment of each child client and maintain the record in a secure storage area. The record helps to ensure proper treatment procedures and serves as evidence of the quality of treatment. Since it is difficult to predict when a record might be accessed, it is always prudent to prepare for the widest range of possibilities.

The child client's record should at a minimum include informed consent and assent; initial history; results of psychological assessment of the child; documentation of collateral interviews; all materials regarding the child received from outside sources; relevant release forms; and treatment notes.

Applicant must describe its record keeping and management process, and include at least:

- The process to address confidentiality and access to records;
- Note taking practices for treatment/progress notes for the different stages of treatment and termination; and
- How clinical records will be filed and maintained.

4) Evaluation of Treatment Outcome

Periodic assessment of the child client's psychological and social functioning, including a final assessment at the end of treatment, becomes an important aspect of ongoing clinical care. It is important to evaluate treatment outcome and effectiveness of the therapy. The use of formal assessment instruments allows for the comparison of a given client's pretreatment scores to those at the end of treatment. Such tests allow the clinician to assess whether therapy has significantly reduced victimization-related symptoms, and whether the client's current level of functioning approaches those seen in recovered or non-victimized children. It further allows a determination as to whether treatment has been successful and the child no longer needs clinical services or if additional or different treatment is indicated.

Applicant must describe its treatment evaluation process, and include at least:

- Instruments used to establish a baseline assessment pre-therapy;
- Instruments used to measure treatment outcome/effectiveness of therapy and/or post-assessment;
- Periodic intervals used by the clinician to evaluate progress of the treatment; and
- Utilization of other resources to establish the effectiveness of therapy;

5) Legal and Ethical Evaluation

This section considers the minimum issues related to therapy with child victims of abuse and neglect. Informed consent is a legal and ethical requirement for treatment and must be obtained in writing on all child clients at the onset of treatment. Informed consent is normally obtained from one or both parents. There are three basic sources of confidentiality essential to psychotherapy: the ethical obligation to protect confidential client information; state and federal laws making client records confidential; and privileges applicable in legal proceedings. California's Confidentiality of Medical Information Act (CMIA) provides that mental health professionals may not disclose information regarding clients without client authorization. Disclosure as required by law such as the child abuse mandated reporting law is an exemption.

Applicant must describe how it will comply with legal and ethical issues, and include at least:

- Process for obtaining informed consent for children when there are married parents, parents never married, divorced parents, and/or a guardian;
- Process for obtaining an informed consent for dependent children of the court;
- Process for obtaining an informed consent to outpatient mental health treatment or counseling for a child who is age 12 or older;
- Process for informing parents of mental health treatment or counseling services to a child age 12 or older pursuant to Family Code Section 6924, and the information to note in the child's record;
- Process for obtaining informed consent for emancipated minors and/or is 15 years of age or older;
- Understanding of confidentiality, limitations of confidentiality (legal exceptions), and ability to discuss these limitations with clients; and
- Process for obtaining release of information forms for any discussion of clinical information with any source, and specifically to allow Governor's Office of Emergency Services, Criminal Justice Programs Division staff to review the clinical records for grant monitoring, technical assistance, and site visit purposes.

6) Administrative Evaluation

Applicant must describe administrative functions to comply with grant guidelines, and include at least:

- Experience in administering previous grants, especially if the agency has had a child abuse treatment program grant;
- Ability to perform basic management, accounting functions, and personnel practices;

- Services to assist child victims in their awareness of the availability of the Victim Compensation Program (VCP), assisting in the process of filing a VCP application, participating in the appeal process if the application is denied, follow-up contact with the California Victim Compensation and Government Claims Board;
- How services will be coordinated with the county victim/witness office;
- How services will be provided to support, assist, and advocate for child and adolescent victims involved with the juvenile, family, and/or criminal division of the superior court;
- How these services will be coordinated with the Court Appointed Special Advocate (CASA) programs;
- Methods used to recruit and retain volunteers; and
- How volunteers are used to support project related services.

c. Culturally Centered Therapy

Applicant may provide culturally centered therapy within acceptable cultural practices and approved by the project's board of directors and OES.

Culturally centered therapy include, but are not limited to:

- Basket weaving;
- Regalia-making;
- Summer day camp (camp which prepares the children for the ceremonies and to promote cultural healing);
- Sweat lodge;
- Song;
- Talking stick;
- Pow Wows; and
- Storytelling.

d. Mandated Objectives and Activities (Limit 1 Page per Objective)

This section should describe the applicant's plan to address each of the four mandated objectives delineated in Section F.3. Program Information.

For each objective, provide a quantified estimate of the services to be provided during one grant year (use a whole number only, do not use, for example between 15-20). Discuss the manner in which those services will be provided, and the activities to be performed to support those services. The information provided for each objective must describe:

- How the objectives and activities will be achieved within one year of operation;
- How the licensed clinical staff and other supportive clinical staff are to achieve the stated objectives;
- How the source documentation will be collected and maintained to measure results; and
- How source documentation is defined and records used to validate project activities and achievements as these pertain to the objectives outlined.

1) Objective 1: Provide Therapeutic and/or Culturally Centered Services

This objective refers to both intensive therapeutic services provided by a licensed clinician to child victims, and/or Culturally Centered Services provided by a licensed or non-licensed therapist based on traditional culturally centered therapy. This service must be provided within acceptable cultural practices approved by the project's board of directors, and must also be approved by OES.

The estimated number of child victims who will receive therapeutic services is _____.

And/or

The estimated number of child victims who will receive culturally centered services is _____.

2) Objective 2: Assistance in Filing Application for Victim Compensation Program (VCP)

The estimated number of child victims who will receive assistance with filing claims for the VCP through the California Victim Compensation and Government Claims Board is _____.

3) Objective 3: Provide Assistance, Advocacy, and Support During Judicial Proceedings

The estimated number of child victims who will receive judicial proceedings related services is _____.

4) Objective 4: Use of Volunteers

The estimated number of volunteers who will be trained and provide project related services is _____ for a total number of _____ FTE.

Implementation: This section should address the applicant's ability to implement the project. Provide a narrative statement addressing the following points:

a. Agency Description

- Describe the applicant's organization including size, composition, structure, primary mission, philosophy, range of services, and how the AI CHAT Program will be incorporated within the organization.
- Describe the organization's knowledge and experience in providing services to child victims of abuse, neglect, and exposure to domestic violence. If the organization operated a child abuse treatment program in previous years, describe this program; and projections to expand and enhance this program.
- Include an organizational chart in the Proposal Appendix showing the location of the AI CHAT Program in the organization; include duty statements for each of the positions describing responsibilities and qualifications of the staff assigned to the AI CHAT Program; and include resumes.

- Include documentation of non-profit status in the Proposal Appendix.
- In the funding chart list all other funds the agency currently receives, showing the sources, amounts, funding periods, and the purpose of the funding. Describe the applicant's ability to blend funds from various funding streams (i.e., MediCal; Early Prevention Screening Treatment Diagnosis; Children and Families Commission funds, etc.).
- Identify the funds to be used as the required match. All funds designated as match are restricted to the same VOCA fund restrictions. Federal funds cannot be used to meet the match requirement. VOCA funds must be used to supplement funds for program activities, not replace those funds appropriated for the same purpose. Supplanting is strictly prohibited. Supplanting means to deliberately reduce federal, state, or local funds because of the existence of VOCA funds.

b. Primary Clinical Focus and Range of Services

- Describe the staff's ability to treat multiple and co-occurring types of abuse, and address the various needs child victims may present (i.e., language and cultural needs, developmental delays, learning disabilities, residing with parents and/or caregivers who are substance abusers, live in a domestic violent home, and community violent environment).
- Describe the staff's ability to provide various psychotherapy modalities to address the presenting problem(s) of child victims (i.e., trauma-focused treatment, individual, group, play therapy, art therapy, PCIT, etc.).
- Describe the agency's ability to make treatment available and accessible to the range of child victims in the service area.
- Describe the agency's ability to expand current services so treatment services are accessible and available to a larger number of child victims who are underserved or not served in the service area.

c. Operational Agreements

- Describe plans for the coordination of services by collaborating with other service providers serving child victims, domestic violence victims, and the efforts to avoid service fragmentation and duplication of services.
- Identify the individual and/or agency providing services, including the roles and responsibilities of each organization under the AI CHAT Program; the resources and services each party will contribute to the AI CHAT Program; and the resources and services already being provided by each party.
- Each Operational Agreement must be effective for the current grant year and be signed and dated by the Executive Officer designated by each organization.

B. THE PROJECT BUDGET

The purpose of the Project Budget is to demonstrate how the project will implement the proposed plan with the funds available through the AI CHAT Program. The budget is the basis for

management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds. Applicant may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit, applicant should not include in the project budget matching funds (if applicable) in excess of the required match. **The project budget is subject to OES modifications and approval.**

OES requires the applicant to develop a **line item** budget that will enable it to meet the intent and requirements of the program, ensure the successful implementation of the project, and be cost-effective. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures detracting from the accomplishment of the objectives and activities of the project. The following information is provided to assist in the preparation of the budget. Strict adherence to all required and prohibited items is expected. **Where the applicant does not budget for a required item, the applicant assumes responsibility.** Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Grantee Handbook* at www.oes.ca.gov. Applicant can select "Criminal Justice Programs Division, Plans and Publications, Grantee Handbook" for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. VOCA allowable or non-allowable costs guidelines supersede the Grantee Handbook requirements. Contact the person listed on page 1, subsection B of this RFP if you have additional budget questions.

Match Requirements: The match, cash or in-kind, must be clearly identified in the budget. The match must not be derived from federal monies. The match is intended to augment the amount of resources available to the project. Expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. All of the match specified in the budget will become part of the grant award. State funds can be used to match federal funds only if the (a) other funding source does not prohibit this practice; (b) the funds are to be used for identical activities; and, (c) programmatic instructions allow this practice.

All funds designated as match are restricted to the same uses as VOCA funds.

- **Calculating Match** – The total Project Cost method is to multiply the amount by the percentage of match to obtain the match amount. To calculate a 5 percent match, divide the grant award amount by 95 percent; this determines the total project cost; subtract the grant award amount. To calculate a 20 percent match, divide the grant award amount by 80 percent; this determines the total project cost; subtract the grant award amount.

5 percent match based on Total Project Cost

VOCA funds awarded	\$175,000
Total project match required	\$ 9,211
Total project cost	\$184,211

20 percent match based on Total Project Cost

VOCA funds awarded	\$175,000
Total project match required	\$ 43,750
Total project cost	\$218,750

1. The Budget Narrative

Applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the proposal in front of the budget pages. In the narrative describe:

- How the project's proposed budget supports the stated objectives and activities in the project.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment.
- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

2. Specific Budget Categories

There is a separate form in the Forms Section (Part III) for each of the following three budget categories:

- Personal Services – Salaries/Employee Benefits,
- Operating Expenses, and
- Equipment.

Each budget category requires line item detail that addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented **and rounded off to the nearest whole dollar**. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. **Personal Services – Salaries/Employee Benefits (Form A303a)**

1) Salaries

Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other persons are to be shown as consultants in the Operating Expenses Category supported by a Memorandum of Understanding (MOU), contract, or Operational Agreement (OA), which must be kept on file by the grantee and made available for review during an OES site visit, monitoring visit, or audit. Furthermore, in the case of grants being passed through a grantee to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category. In either

case, they may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If agency personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

2) Benefits

Employee benefits must be identified by type and percentage of salaries. Applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1½ clerical positions).

b. Operating Expenses (Form A303b)

Operating expenses are defined as necessary expenditures exclusive of personnel salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$1,000 per unit (including tax, installation, and freight) **and/or with a useful life of less than one year fall within this category.**

Budget for all anticipated training related to the project. **All** applicants must budget for a minimum of one OES-sponsored training session during the grant year. Applicant must also include sufficient per diem and travel allocations for persons to attend required OES training conferences or workshops. If several staff will be attending the same event, budget for the total number of people. A minimum of two project staff from each participating agency must attend each training conference. Applicant must budget a minimum of \$200 for registration fees for each person, plus the state per diem rate and travel expenses.

Training – Applicant is required to send a minimum of two staff members to attend an OES, Criminal Justice Programs Division sponsored AI CHAT Project Director's meeting. This regional meeting will provide an orientation and program overview.

c. Equipment (Form A303c)

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$1,000 or more per unit (including tax, installation, and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

C. THE PROPOSAL APPENDIX

The Proposal Appendix provides OES with additional information from the applicant to support components of the proposal. Please include the following:

- Operational Agreements: OAs must be dated and contain original signatures, titles and agency names for both parties. OAs must demonstrate a formal system of networking and coordination with other agencies and the project. Those submitted with the proposal must be effective for the proposed grant year. For the purpose of this RFP, the terms OAs and MOU are synonymous. A sample OA is provided in the Forms Section of this RFP.
- Certification of Assurance of Compliance.
- Project Service Area Information.
- Project Contact Information.
- Project Summary.
- Other Funding Sources.
- Additional Signature Authorization.
- Programmatic Purchase Justification.
- Emergency Fund Procedures.
- Sole/Single Source Justification Information.
- California Map.
- Organizational Chart: The Organizational Chart should provide a clear and detailed depiction of the structure of the applicant organization, and the specific unit within the organization that will be responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and depict the lines of authority within the organization. Job titles on the Organizational Chart should match those in the Budget and Budget Narrative.
- Duty Statements for each position in the AI CHAT Program stating responsibilities and job functions.
- Resumes for all AI CHAT Program personnel including those in administrative positions.

D. PREFERENCE POINTS CERTIFICATION

California Government Code Section 7082 requires OES to give preference to applicants from areas in the state designated as Enterprise Zones. These are areas that have been identified to receive state contract preference points due to high unemployment, lower incomes, and population density. The goal of the Enterprise Zone Program is to stimulate growth in economically distressed areas. Five percent of the applicant's total score will be added to the proposal for the applicant that specifically targets a designated zone for services. Two percent of the applicant's total score will be added to the proposal for applicant whose service area includes an Enterprise Zone, but does not specifically target the area for services.

Complete information concerning the Enterprise Zone Program is available on-line from the California Technology, Trade and Commerce Agency, Community and Investment Incentives Section of the Business and Community Resources web page at <http://www.commerce.ca.gov>. If the applicant is eligible for preference points, certification of eligibility by the appropriate agency must be provided. Self-certification is not allowed. A certification form is provided in Part III (Forms) of this RFP.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM RFP
COMPETITIVE REQUEST FOR PROPOSAL**

PART III – FORMS

PROPOSAL CHECKLIST AND REQUIRED SEQUENCE

This checklist is provided to assist the applicant in ensuring that a complete proposal is submitted to OES. Failure to include any of the following elements may result in disqualification of the proposal.

- ☐ PROPOSAL COVER SHEET
- ☐ GRANT AWARD FACE SHEET, signed by the official authorized to enter into Grant Award Agreement.
- ☐ PREFERENCE POINTS CERTIFICATION FORM signed by the designated Enterprise Zone Contact.
- ☐ THE PROJECT NARRATIVE
 - Problem Statement
 - Plan and Implementation
- ☐ THE PROJECT BUDGET
 - The Budget Narrative
 - Budget Forms A303a, A303b, A303c
- ☐ THE PROPOSAL APPENDIX
 - Operational Agreements
 - Certification of Assurance of Compliance
 - Project Service Area Information
 - Project Contact Information
 - Project Summary
 - Other Funding Sources
 - Additional Signature Authorization
 - Programmatic Purchase Justification
 - Emergency Fund Procedures
 - Sole/Single Source Justification Information
 - California Map
 - Organizational Chart
 - Duty Statements
 - Resumes



**CRIMINAL JUSTICE PROGRAMS DIVISION
GOVERNOR'S OFFICE OF EMERGENCY SERVICES**

P.O. BOX 419047
RANCHO CORDOVA, CALIFORNIA 95741-9047
(916) 324-9100
FAX: 327-5674



PROPOSAL COVER SHEET

RFP PROCESS

AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM RFP

Deliver to the Children's Section

Submitted by:

(Place name, address, and phone number of applicant here.)

GRANT AWARD FACE SHEET INSTRUCTIONS

1. **Administrative Agency**
Enter the complete name of the unit of government applying for funding (e.g., Alameda County, City of Fresno), also referred to as the "grantee."
2. **Implementing Agency**
Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g., Sheriff, Police Department), and the contact person's name, address, and telephone number. Include an e-mail address, if you have one.
3. **Project Title**
Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters, including spaces and punctuation.
4. **Project Director**
Enter the name, title, mailing address, and telephone number of the individual ultimately responsible for the project. This information must be limited to four lines.
5. **Financial Officer**
Enter the name, title, mailing address, and telephone number of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. The reimbursement check for this project will be mailed to the address shown for the financial officer. This information must be limited to four lines.
6. **Award Number**
Leave blank (to be completed by OES).
7. **Grant Period**
Enter beginning and ending dates of funding as specified in the grant proposal instructions.
8. **Federal Amount**
If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount**
If applicable, enter the amount of state funds requested for the project. If not applicable, enter N/A.
10. **Cash Match**
If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match**
If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost**
Enter the sum of items 8, 9, 10, and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for Applicant/Grantee**
Enter the signature, name, title, address, and telephone number of the official authorized to enter into the Grant Award Agreement for the city/county or community-based organization, as stated in the language between items 12 and 13 of the Grant Award Face Sheet (Form A301). **Provide an original signature of the authorized official in blue ink.**

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

GRANT AWARD FACE SHEET (FORM A301)

The Governor's Office of Emergency Services, hereafter designated OES, hereby makes a grant award of funds to the following
Administrative Agency (1) _____

hereafter designated Grantee, in the amount and for the purpose and duration set forth in this grant award.

(2) Implementing Agency Name _____

Contact _____ **Address** _____

E-mail address _____ **Telephone ()** _____

(3) Project Title (60 characters maximum)	(6) Award No.
(4) Project Director (Name, Title, Address, Telephone) (four lines maximum)	(7) Grant Period
	(8) Federal Amount
	(9) State Amount
(5) Financial Officer (Name, Title, Address, Telephone) (four lines maximum)	(10) Cash Match
	(11) In-Kind Match
	(12) Total Project Cost

This grant award consists of this title page, the proposal for the grant which is attached and made a part hereof, and the Assurance of Compliance forms which are being submitted. I hereby certify that: (1) I am vested with authority to, and have the approval of the City/County Financial Officer, City Manager, or Governing Board Chair, enter into this grant award agreement; and (2) all funds received pursuant to this agreement will be spent exclusively on the purposes specified. The grant recipient signifies acceptance of this grant award and agrees to administer the grant project in accordance with the statute(s), the Program Guidelines, the *Grantee Handbook*, and the OES audit requirements, as stated in this RFP or RFA. The grant recipient further agrees to all legal conditions and terms incorporated by reference in this RFP or RFA.

<p style="text-align: center;"><u>FOR OES USE ONLY</u></p> <p>Item: _____</p> <p>Chapter: _____</p> <p>PCA No.: _____</p> <p>Components No.: _____</p> <p>Project No.: _____</p> <p>Amount: _____</p> <p>Split Fund: _____</p> <p>Split Encumber: _____</p> <p>Year: _____</p> <p>Fed. Cat. #: _____</p> <p>Match Requirement: _____</p> <p>Fund: _____</p> <p>Program: _____</p> <p>Region: _____</p>	<p>(13) Official Authorized to Sign for Applicant/Grant Recipient</p> <p>Signature: _____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Address: _____</p> <p>Telephone: () _____</p> <p>E-mail address: _____</p> <p>Date: _____</p> <hr/> <p>I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.</p> <hr/> <p>Fiscal Officer, _____ Date _____</p> <hr/> <p>Executive Director, _____ Date _____</p>
---	--

PREFERENCE POINTS CERTIFICATION

Use this format if one is not provided by the Lead agency.

DATE:

TO: GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION

FROM: Community Contact
Enterprise Zone Program

SUBJECT: PREFERENCE POINTS

(check only one box)

- ☐ (5%) The applicant named below has targeted this enterprise zone for grant-related activities.
- ☐ (2%) The applicant named below has not specifically targeted this enterprise zone for grant-related activities. However, the applicant provides needed services to residents of this community.

Applicant Name _____

Project Name _____

Address _____

Program Zone _____

I certify that I have reviewed the proposed project and that it meets the eligibility requirements for preference points as required by California Government Code Section 7082.

Print Name of Enterprise Zone Contact

Title

Signature of Enterprise Zone Contact

Date

Name of Enterprise Zone Agency

Address

() _____
Telephone Number

**THE PROJECT NARRATIVE
GOES HERE**

No standard forms are provided for the Project Narrative.

See Instructions in Part II of this RFP for details.

THE PROJECT BUDGET
THE BUDGET NARRATIVE
GOES HERE

No standard forms are provided for the Budget Narrative.

See Instructions in Part II of this RFP for details.

BUDGET CATEGORY AND LINE ITEM DETAIL	
A. Personal Services – Salaries/Employee Benefits	COST
TOTAL	

Form A303a

BUDGET CATEGORY AND LINE ITEM DETAIL	
B. Operating Expenses	COST
TOTAL	

Form A303b

BUDGET CATEGORY AND LINE ITEM DETAIL				COST
C. Equipment				
CATEGORY TOTAL				
PROJECT TOTAL				
FUND DISTRIBUTION	FEDERAL	STATE	CASH MATCH	IN-KIND MATCH
1. Amount of Funds				
2. Percentage of Funds				

**THE PROPOSAL APPENDIX
GOES HERE**

See Instructions in Part II of this RFP for details.

SAMPLE OPERATIONAL AGREEMENT

This Operational Agreement stands as evidence that the (applicant agency) and the (agency) intend to work together toward the mutual goal of providing maximum available assistance for crime victims residing in (jurisdiction). Both agencies believe that implementation of the (program) proposal, as described herein, will further this goal. To this end, each agency agrees to participate in the program, if selected for funding, by coordinating/providing the following services:

The (applicant agency) project will closely coordinate the following services with the (agency) through:

- Project staff being readily available to (agency) for service provision through (describe arrangements with the agency);
- Regularly scheduled meetings (how often) between (persons/positions) to discuss strategies, timetables and implementation of mandated services.

* Specifically:

- * List specific activities that will be undertaken between the two agencies or other specifics of the agreement.

We, the undersigned, as authorized representatives of (applicant agency) and (agency), do hereby approve this document.

For _____

For _____

Date _____

Date _____

CERTIFICATION OF ASSURANCE OF COMPLIANCE

I, _____, hereby certify that:
(official authorized to sign grant award; same person as line 13 on Grant Award Face Sheet)

GRANTEE: _____

IMPLEMENTING AGENCY: _____

PROJECT TITLE: _____

is responsible for reviewing the *Grantee Handbook*¹ and adhering to all of the Grant Award Agreement requirements (state and/or federal) as directed by OES including, but not limited to, the following areas:

I. Equal Employment Opportunity – (*Grantee Handbook Section 2151*)

It is the public policy of the State of California to promote equal employment opportunity by prohibiting discrimination or harassment in employment because of race, religious creed, color, national origin, ancestry, disability (mental and physical) including HIV and AIDS, medical condition (cancer and genetic characteristics), marital status, sex, sexual orientation, denial of family medical care leave, denial of pregnancy disability leave, or age (over 40). **OES-funded projects certify that they will comply with all state and federal requirements regarding equal employment opportunity, nondiscrimination and civil rights.**

Please provide the following information:

Affirmative Action Officer: _____

Title: _____

Address: _____

Phone: _____

Email: _____

II. Drug-Free Workplace Act of 1990 – (*Grantee Handbook Section 2152*)

The State of California requires that every person or organization awarded a grant or contract shall certify it will provide a drug free workplace.

III. California Environmental Quality Act (CEQA) – (*Grantee Handbook Section 2153*)

The State of California requires all OES-funded projects to obtain written certification that the project is not impacting the environment negatively.

¹ The *Grantee Handbook* can be obtained from www.oes.ca.gov. Applicant can select “Plans and Publications, RFA/RFP Grantee Handbook” to access the *Grantee Handbook*.

IV. Lobbying – (*Grantee Handbook Section 2154*)

OES grant funds, grant property, or grant funded positions shall not be used for any lobbying activities, including, but not limited to, being paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.

V. Debarment and Suspension – (*Grantee Handbook Section 2155*) (*This applies to federally funded grants only.*)

OES-funded projects must certify that it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department of agency.

VI. Proof of Authority from City Council/Governing Board

The above-named organization (applicant) accepts responsibility for and will comply with the requirement to obtain written authorization from the city council/governing board in support of this program. The applicant agrees to provide all matching funds required for said project (including any amendment thereof) under the Program and the funding terms and conditions of OES, and that any cash match will be appropriated as required. It is agreed that any liability arising out of the performance of this Grant Award Agreement, including civil court actions for damages, shall be the responsibility of the grant recipient and the authorizing agency. The State of California and OES disclaim responsibility of any such liability. Furthermore, it is also agreed that grant funds received from OES shall not be used to supplant expenditures controlled by the city council/governing board.

The applicant is required to obtain written authorization from the city council/governing board that the official executing this agreement is, in fact, authorized to do so. The applicant is also required to maintain said written authorization on file and readily available upon demand.

All appropriate documentation must be maintained on file by the project and available for OES or public scrutiny upon request. Failure to comply with these requirements may result in suspension of payments under the grant or termination of the grant or both and the grantee may be ineligible for award of any future grants if the OES determines that any of the following has occurred: (1) the grantee has made false certification, or (2) violates the certification by failing to carry out the requirements as noted above.

CERTIFICATION
<p>I, the official named below, am the same individual authorized to sign the Grant Award Agreement [line 13 on Grant Award Face Sheet], and hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.</p> <p>Authorized Official's Signature: _____</p> <p>Authorized Official's Typed Name: _____</p> <p>Authorized Official's Title: _____</p> <p>Date Executed: _____</p> <p>Federal ID Number: _____</p> <p>Executed in the City/County of: _____</p>
<p>AUTHORIZED BY:</p> <ul style="list-style-type: none">• City/County Financial Officer• City Manager• Governing Board Chair <p>Signature: _____</p> <p>Typed Name: _____</p> <p>Title: _____</p>

PROJECT SERVICE AREA INFORMATION

1. COUNTY OR COUNTIES SERVED: Enter the name(s) of the county or counties served by the project. Put an asterisk where the principal office of the project is located.

2. U.S. CONGRESSIONAL DISTRICT(S): Enter the number(s) of the U.S. Congressional District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.

3. STATE ASSEMBLY DISTRICT(S): Enter the number(s) of the State Assembly District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.

4. STATE SENATE DISTRICT(S): Enter the number(s) of the State Senate District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.

5. POPULATION OF SERVICE AREA: Enter the total population of the service area served by the project.

PROJECT CONTACT INSTRUCTIONS

1. Provide the name, title, address, telephone number, and e-mail address for the person having day-to-day responsibility for the project.
2. Provide the name, title, address, telephone number, and e-mail address for the person to whom the person listed in #1 is accountable.
3. Provide the name, title, address, telephone number, and e-mail address for the Chief Executive of the implementing agency.
4. Provide the name, title, address, telephone number, and e-mail address for the Financial Officer of the project.
5. Provide the name, title, address, telephone number, and e-mail address for the Project Director of the project.
6. Provide the name, title, address, telephone number, and e-mail address for the Chair of the Governing Body of the implementing agency.

PROJECT CONTACT INFORMATION

Applicant: _____ Grant Number _____
(For OES use only)

Provide the name, title, address, telephone number, and e-mail address for the project contact persons named below. **If a section does not apply to your project, enter "N/A."**

1. The **person** having **day-to-day responsibility** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

2. The **person** to whom the person listed in **#1 is accountable**:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

3. The **executive director** of a nonprofit organization or the **chief executive officer** (e.g., chief of police, superintendent of schools) of the implementing agency:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

4. The **financial officer** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

5. The **project director** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

6. The **chair** of the **governing body** of the implementing agency: *(Provide address and telephone number other than that of the implementing agency.)*

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

PROJECT SUMMARY INSTRUCTIONS

All of the necessary project information must be placed on the form in the space allowed. **Additional pages may not be added.** This is a summary of the project narrative.

1. **PROJECT YEAR:** If the project is new, check new. If the project is continuing, check the box of the proposed year of the project (i.e., Year 2) or insert the year of operation.
2. **PROJECT TITLE:** Enter the complete title. The title **MUST** describe the focus of the project. Acronyms are not acceptable. Do not exceed 60 characters, including space and punctuation.
3. **GRANT PERIOD:** Enter the beginning and ending dates of funding as specified in the grant application.
4. **APPLICANT:** Enter the name and complete address of the organization that is applying for the grant.
5. **FUNDS REQUESTED:** Enter the amount of grant funds requested. This must be the same amount used on the budget pages and on the proposal cover sheet.
6. **IMPLEMENTING AGENCY:** Enter the agency or organization designated on the Grant Award Face Sheet as the programmatic recipient of the grant funds who will accomplish the planned objectives and program goals.
7. **PROGRAM DESCRIPTION:** Provide a description of the specific area of service which OES is authorized to fund based upon state or federal legislation.
8. **PROBLEM STATEMENT:** Describe the problem the project will address. Support the problem with data such as number of offenses, description of the target area, and local needs.
9. **OBJECTIVES:** Include the quantifiable measurements which define a course of action in order to accomplish the program goals.
10. **ACTIVITIES:** Describe activities you will perform to accomplish each objective (quantify where possible).
11. **CATEGORY:** Check the appropriate category.
12. **PROGRAM AREA:** Check appropriate program area.
13. **EVALUATION:** Describe how project performance will be measured. Note who will conduct the evaluation (e.g., project staff, government personnel, or outside consultants).
14. **NUMBER OF CLIENTS TO BE SERVED:** Enter the number of clients.
15. **PROJECTED BUDGET:** List all noted budget items. Be specific in breakdown of grant funds and all other budget sources.
16. **RESPONSIBLE OFFICIAL:** The legally responsible official for the organization should sign and date this document. The official's name and title should be typed in the space provided.

PROJECT SUMMARY		
1. PROJECT YEAR New Year 2 Year 3 Other _____	2. PROJECT TITLE	3. GRANT PERIOD _____ to _____
4. APPLICANT Name: _____ Phone: () Address: _____ Fax #: ()		5. FUNDS REQUESTED \$ _____
6. IMPLEMENTING AGENCY Name: _____ Phone: () Fax #: () Address: _____		
7. PROGRAM DESCRIPTION 		
8. PROBLEM STATEMENT 		
9. OBJECTIVES 		

10. ACTIVITIES	11. CATEGORY N/A
	12. PROGRAM AREA N/A
13. EVALUATION	14. NUMBER OF CLIENTS TO BE SERVED _____

15. PROJECTED BUDGET

	Personnel Services	Operating Expenses	Equipment	TOTAL
Funds Requested				
Other Grant Funds				
Other Sources (list in-kind, fees, etc.)				

16. NAME OF RESPONSIBLE OFFICIAL

Signature: _____ Date: _____
 Typed Name: _____
 Title: _____

Complete this form to report the total funds available to support the activities related to accomplishing the goals and objectives of the Grant Award Agreement. In the Grant Funds column, report the OES funds requested by category. In the Other Funds column, report all other funds available to support the project by category and then calculate the totals by category in the Program Total column. Total each column to arrive at the total program funds available.

OTHER FUNDING SOURCES			
BUDGET CATEGORY	GRANT FUNDS <i>(Use only the grant funds identified in the preceding budget pages.)</i>	OTHER FUNDS	PROGRAM TOTAL
Personal Services			
Operating Expenses			
Equipment			
TOTAL			

Form 653

This form does not become part of the grant award.

ADDITIONAL SIGNATURE AUTHORIZATION INSTRUCTIONS

Applicant may request signature authority in addition to the designated Project Director and/or Financial Officer by completing an Additional Signature Authority form and submitting it with the Grant Award Forms package. Space is provided for the addition of up to five (5) additional authorizations for the Project Director or Financial Officer.

No single individual may be authorized to sign for both the Project Director and the Financial Officer. **By signing the bottom of this form, the Project Director and/or Financial Officer authorize the person(s) identified on the form to act on their behalf on all grant-related matters.**

ADDITIONAL SIGNATURE AUTHORIZATION

Grant Award #: _____

Applicant: _____

Project Title: _____

Grant Period: _____ to _____

The following persons are authorized to sign for:

Project Director

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Financial Officer

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Approved By:

Project Director: _____

Date

Financial Officer: _____

Date

Regional/Local
Planning Director: _____

Date

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

EMERGENCY FUND PROCEDURES

GRANTEE NAME

GRANT NUMBER

In order for a project to develop an emergency fund with grant funds, certain criteria must be maintained. "Emergency" is defined as any immediate financial intervention in response to a victim's basic needs such as: temporary emergency shelter, food, transportation, clothing, and medical care including prescription medicine, eyeglasses, or dentures.

Because of the nature of the fund, it needs to be easily accessible. It is also necessary, however, that some safeguards and accountability of the fund be maintained. For effective management and audit purposes, the following procedures must be maintained:

1. The emergency fund and regular grant allocation must be kept separate, each with their own accounts.
2. Vouchers, receipts, and canceled checks must be maintained for audit purposes.
3. The authority to make payments from the emergency fund rests with the Chief Executive of the agency. Authority to draw on the emergency fund has been delegated by the Chief Executive to _____. In order to be valid, checks must require a counter signature. OES will be notified in writing of any changes in responsibility within ten days of the change.
4. If an imprest cash fund is used, the name, address and signature of the recipient will be maintained, as well as the date, amount and reason for the request.
5. Grant funds will not be commingled with other emergency monies.
6. As checks are drawn against the fund, a copy will be sent to the person in charge of the project's accounting.
7. This fund will be used only in the absence of another community resource, and only in the case of an emergency.
8. Verification of the crime will be made with local law enforcement. A copy of the crime report or verification slip will be kept on file.
9. Payments will be limited to payment for goods or services. A credit system, in lieu of cash payment, will be explored with local merchants. Direct cash allotments will be limited to no more than \$_____ per individual. Victims are not eligible to draw on the emergency fund for more than _____ crime incidents per year.
10. Records will reflect whether the emergency money is considered a loan and full or partial repayment is expected, or whether the money is an outright gift. Any repayments will be considered project income and must be used to reimburse the emergency fund.

SOLE/SINGLE SOURCE JUSTIFICATION CONTRACTS FOR SERVICES

CHECKLIST

Has the applicant/grantee met the following requirements of the *Grantee Handbook*:

Section 4510

Yes

No

Do conditions exist that require a sole/single-source contract?

☐☐

Section 4521

Is a brief description of the program or project included?

☐☐

Section 4522

Was it necessary to contract noncompetitively?

☐☐

Did the contractor submit his/her qualifications?

☐☐

Is the reasonableness of the cost justified?

☐☐

Were cost comparisons made with differences noted for similar services?

☐☐

Section 4523

Is an explanation provided for the uniqueness of the contract?

☐☐

Section 4524

Are there time constraints impacting the project?

☐☐

Is a justification provided regarding the need for contract?

☐☐

Were comparisons made to identify the time required for another contractor to reach the same level of competence?

☐☐



**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

PART IV – ADDITIONAL INFORMATION

This section contains additional information that applicant is strongly encouraged to review in preparing your proposal. Among the documents contained in this section is a copy of the Rating Sheet with the criteria that will be used to score proposals. Applicant is encouraged to use this Rating Sheet to review the proposal prior to submission.

- A. Submitting A Proposal
- B. Selection of Proposal For Funding
- C. Finalizing the Grant Award Agreement
- D. Administrative Requirements
- E. Budget Policy
- F. Glossary of Terms
- G. Rating Form
- H. Summary of Past Performance Policy

A. **SUBMITTING A PROPOSAL**

In order to submit a proposal, applicant must deliver or mail the proposal **(the original and three copies)** to OES by the due date. If the proposal is mailed, it must be postmarked by the due date and **mailed** to the following address.

Mailing Address:

Governor's Office of Emergency Services
Criminal Justice Programs Division
P.O. Box 419047
Rancho Cordova, CA 95741-9047
Attn: American Indian Child Abuse Treatment Program – Children's Section

or

If sending a proposal by **overnight delivery**, submit to:

Governor's Office of Emergency Services
Criminal Justice Programs Division
3650 Schriever Avenue
Mather, CA 95655
Attn: American Indian Child Abuse Treatment Program – Children's Section

If the proposal will be **hand-delivered**, it should be delivered to the Governor's Office of Emergency Services, 1130 K Street, Suite 300, Sacramento. Please note the following: 1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. A Bank of America is located on the first floor of this building. Please note that K Street is a pedestrian mall. Indoor parking structures are located on the east side of 12th Street between K and L Streets (connected to the Hyatt Regency Hotel), and on 10th Street between K and L Streets. Street parking is limited and requires quarters for parking meters. Once you enter the building at 1130 K Street, take the elevator to the third floor and proceed straight down the hall to the Receptionist Office behind the double wooden doors labeled "State of California: Governor's Office of Emergency Services." The proposal will be date stamped and you may request a receipt.

B. **SELECTION OF PROPOSAL FOR FUNDING**

1. **Proposal Rating**

All proposals received by the deadline will be read and rated by a team usually consisting of three raters. The averaged scores from the raters for the qualified proposals will be ranked numerically to develop a ranked list for each program. The rating form that will be used for this process is included in this section. It is provided as information only and is not to be submitted with the proposal.

2. **Funding Recommendations**

Recommendations for funding will be based on the following:

- the ranked score of the proposal;
- consideration of the funding priorities or geographical distribution of selected proposals as applicable to each program; and

- prior negative administrative and programmatic performance and compliance as an OES-funded project, if applicable.

Projects previously funded by OES will be reviewed for poor past compliance, including financial management, progress and annual reports, monitoring results, audit reports, and any other relevant documentation or information. This review may result in one or more of the following actions: a) the project may not be selected for funding; b) the amount of funding may be reduced; or c) grant award conditions may be placed in the Grant Award Agreement. See the attached Past Performance Policy for details.

Recommendations for funding are submitted to the Executive Director of OES who makes the funding decisions, **with the following exceptions:**

- The Executive Director of OES makes funding recommendations to the State Advisory Committee (SAC) on Sexual Assault Victim Services/Prevention Programs for the Rape Crisis, Child Sexual Abuse Treatment, and the Child Sexual Exploitation and Intervention programs, which makes the final funding decisions in accordance with California Penal Code Sections 13836 and 13837; and

3. **Notification Process**

All applicants submitting a proposal will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a letter and information on the appeals process.

C. **FINALIZING THE GRANT AWARD AGREEMENT**

1. **Standard Project Funding Authority**

Allocation of funds is contingent on the enactment of the State Budget. OES does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed. Until such time, projects must refrain from incurring any expenditures. Any expenditures incurred prior to authorization are made at the project's own risk. When the executed grant is received, authorized expenditure reports may be submitted for reimbursement of grant funds.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the grantee. However, no such termination or reduction shall apply to allowable costs already incurred by the grantee to the extent that state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Agreement.

2. Processing Grant Awards

a. **Submission of Additional Materials**

Upon selection of the projects to be funded, OES will send to the grantee additional documents for completion prior to the finalization of the Grant Award Agreement. OES is not obligated to fund such projects until the applicant submits correctly completed documents required for the Grant Award Agreement. The final, completed, and approved application becomes the Grant Award Agreement when signed by OES' Executive Director or designee.

OES is sending with this RFP the Certification of Assurance of Compliance (Form 656) with specific details regarding Equal Employment Opportunity Program (EEOP), Drug Free Workplace Compliance, California Environmental Quality Act (CEQA), Lobbying, Debarment and Suspension requirements, and Proof of Authority from City Council/Governing Board in the Grant Award Forms Package. Applicants selected for funding will then be required to submit the necessary assurances and documentation before finalization of the Grant Award Agreement. **In signing the Grant Award Face Sheet, the applicant formally notifies OES that the applicant will comply with all pertinent requirements.**

Resolutions are no longer required as submission documents. OES has incorporated the resolution into the Certification of Assurance of Compliance, Section VI, entitled "Proof of Authority from City Council/Governing Board." The Applicant is required to obtain written authorization from the city council/governing board that the official executing the agreement is, in fact, authorized to do so, and will maintain said written authorization on file and readily available upon demand.

b. **Grant Award Conditions**

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or any other requirements deemed necessary by OES.

c. **Grant Award Agreement**

A copy of the executed Grant Award Agreement and all the attachments will be sent to the project director. Applicant is not authorized to incur costs against the grant until they have received a copy of the fully executed Grant Award Agreement. When the executed grant is received, the Report of Expenditures and Request for Funds (Form 201) may be submitted for reimbursement.

d. **Grant Award Amounts**

Due to the limited amount of funds available, it may be necessary for OES to reduce the amount of the grant award from that requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

D. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding. These requirements are explained below for your planning purposes.

1. The Grantee Handbook

The *Grantee Handbook* is accessible on the OES Internet website at www.oes.ca.gov. Applicant can select "Criminal Justice Programs Division, Plans and Publications, Grantee Handbook." The *Grantee Handbook* contains administrative information and requirements necessary to implement the project. Grantees must administer their grants in accordance with the *Grantee Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose, unless specifically prohibited by the RFP instructions.

3. Progress Reports and Data Collection

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives. These records must be kept by the project for a period of three years. During programmatic monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures and Request for Funds (Form 201)

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (Form 201) unless they request a quarterly reporting period. All government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within thirty calendar days at the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting these forms will result in the withholding of funds and may result in the termination of the grant award.

5. Technical Assistance/Site Visits

Each project selected for funding is assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are technical experts on the criminal justice system and in the administrative execution of Grant Award Agreements. They are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. Projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance. Projects must submit a request for approval for any changes to their project to the program specialist.

6. Monitoring Requirements

A monitoring visit is an onsite assessment by the OES Monitoring and Audits Branch staff to determine if the project is in compliance with the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Grantee Handbook*. The goal of the monitoring process is to support program branches in helping projects achieve their goals. Projects will be monitored on a random or as-needed basis. The monitoring will cover all areas of project operation and will review the project's source documentation as substantiation for project goals, objectives, and activities.

7. Bonding Requirements

All private nonprofit organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to all officials and employees of OES-funded projects within sixty days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Governor's Office of Emergency Services."

The time period covered by the bond must include the effective date and total time period of the grant, including any extensions. The bond must be in an amount equal to 50 percent of the total grant award and may have a deductible in an amount not to exceed \$1,000.

A bond is not required of applicant sponsored by units of government. Nonprofit organizations sponsored by units of government may submit documentation indicating this in lieu of the bond or equivalent insurance contract, unless specifically required in the RFP instructions or grant award conditions.

8. Audit Requirements

All grantees must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the RFP Budget Policy.

9. Copyrights, Rights in Data, and Patents

OES owns all rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, any material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Grantee Handbook*.

10. Source Documentation

If selected for funding, the applicant will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Projects are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Projects will be required to have written job descriptions on file for all positions funded by OES detailing specific grant-related activities to achieve project objectives.

E. BUDGET POLICY

This document summarizes information on OES Budget Policy contained in the *Grantee Handbook*. Additional information may be obtained by accessing the *Grantee Handbook* at www.oes.ca.gov. Applicant can select “Criminal Justice Programs Division, Plans and Publications, Grantee Handbook.”

1. Supplanting Prohibited

Grant funds must be used to supplement existing funds for program activities and **not replace** funds that have been appropriated for the same purpose. If selected for funding, a written certification must be provided to OES indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are discussed at length in section 1313 of the *Grantee Handbook*.

2. Project Income

Project income, such as client fees and fees for services provided by the grantee (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Sole/Single Source Requests

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitively bid contracts are disfavored, and sole/single source approval is required prior to the purchase of equipment in excess of \$2,500 without using a competitive bid process, or to hire a specific consultant charging over \$2,500 without using a competitive bid process. Local units of government may use their approved procurement policy. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a sole/single source request will be required. OES will provide assistance in submitting a sole/single source request if the proposal is selected for funding and if OES determines it is in the best interest of the project.

4. Match Policies

The RFP instructions (Part II) may specify a cash or in-kind match. The match must be from a source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. The match specified in the budget will become part of the grant award. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in sections 6550-6550.2 of the *Grantee Handbook*.

a. State Funds Matching State or Federal Funds

State and/or federal funds can be used to match other state and/or federal funds only if all of the following conditions have been met:

- 1) the other funding source does not prohibit this practice;
- 2) the funds are to be used for identical activities (e.g., to augment the project); and
- 3) the project has obtained prior written approval from OES, or specific RFP instructions allow this practice.

b. Type of Match

1) Cash Match

Cash match, also known as hard match, is revenue from a source other than state or federal funds that is budgeted for the project. Cash match is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations, or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities, and supplies may be considered cash match if not in violation of the prohibition on supplanting.

2) In-Kind Match

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value.

5. Travel Policies

The following is OES' current travel policy:

a. Selection of Travel Policy

Applicant may prepare the budget using his/her own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Private Nonprofit Organizations

A private nonprofit organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel Policy

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 34 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

Note: If you are traveling by plane during business hours, you cannot claim a meal if it is served on the plane.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total

Total is \$40.00 for a 24-hour period.

4) Lodging

Reimbursement is not authorized without a receipt. Statewide with a lodging receipt is the actual lodging expense up to \$84.00, plus applicable **taxes**, (except as noted below).

5) Special Lodging Rates

These rates allow actual lodging expense up to \$110 plus applicable taxes with receipt in Los Angeles and San Diego counties. Actual lodging of up to \$140 plus applicable taxes is allowed for Alameda, San Francisco, San Mateo and Santa Clara counties.

6) Other

Taxi, airport shuttle, etc., which exceeds \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Consultant Services

Consultant services are provided on a contractual basis by individuals or organizations and are not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations that meet some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.

a. Rates

The maximum rate for independent contractors is \$450 (excluding travel and subsistence costs) for an eight-hour day. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. A request for compensation for over \$450 per day requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for these independent contractors will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees

Prosecution or criminal defense projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
- Specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage and Family Therapist (MFT); Medical Doctor (MD)].
- Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).
- Indicate why this cost cannot be paid with county funds. Attach a written justification to Form A303b.

7. Facility Rental

Up to \$18 per square foot annually (\$1.50 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

a. Rental Space for Training and Counseling Rooms

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the rental charged is based on actual costs and not reimbursed by any other source.

8. Rented or Leased Equipment

If equipment is to be rented or leased, an explanation and cost analysis will be required if the proposal is selected for funding. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it and must be approved by OES prior to the execution of any rental or lease agreement.

9. Indirect Costs/Administrative Overhead

Federal VOCA Guidelines do not allow the use of VOCA funds for indirect costs or administrative overhead.

10. Audits

An audit is required for all OES recipients expending \$25,000 or more of OES grant awards. Applicant may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$1,500 for the financial audit costs; or

- If the total amount of the grant is greater than \$150,000, the applicant may budget up to one percent of the total grant for financial audit costs.

11. Equipment

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers must be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by OES is required.

All equipment purchased in whole or in part with state or federal grant funds is the property of the state or the federal government. However, under certain conditions, equipment may be transferred to the grantee at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

b. Computers

1) Nonprofit Organizations

Applicant from nonprofit organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase.

2) Units of Government

Applicant from units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification

Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost-effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the project will be sent instructions for preparing the justification.

c. Automobiles

Automobiles are not allowable budget items, unless permitted in the RFP Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OES during a site visit, monitoring visit, and/or by the auditor during the required annual audit.

12. Prohibited Expense Items

The following is a list of prohibited items:

a. Lobbying

OES grant funds cannot be used for lobbying activities.

b. Fundraising

OES grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

c. Real Property and Improvements

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

d. Interest

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

e. Food and Beverages

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

f. Weapons and Ammunition

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFP instructions.

g. Membership Dues

The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFP instructions.

h. Professional License

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

i. Annual Professional Dues or Fees

The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the RFP instructions.

j. Charges, Fees and Penalties

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

k. Depreciation

Depreciation charges are not allowable expenditures.

GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Grantee	The agency or organization designated on the Grant Award Face Sheet who is the programmatic recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Application	Once selected for funding, the original proposal plus any additional forms as required by OES becomes the application. This application, once signed by OES and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist grantees in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed final agreement (application) between OES and the local government agency or organization authorized to accept grant funding (see application).
Grant Award Forms Package	The package to be sent to projects selected for funding containing forms needed for the final Grant Award Agreement.
Grant Funding Cycle	The number of years a program <u>may</u> be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the RFP or the application for Continuation Funding (RFA), which the Project Narrative, Objectives, Activities, and Budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Form A301).
<i>Grantee Handbook</i>	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Grantee Handbook</i> is accessible on the internet website at www.oes.ca.gov . Applicant can select "Criminal Justice Programs Division, Plans and Publications, Grantee Handbook."

Term	Definition
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Memorandum of Understanding (MOU)	This term is used synonymously with Operational Agreement.
Nonprofit Organization	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code. The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a (funded) state or local government agency or CBO.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to OES which specifies the priorities, strategies, and objectives of the applicant.
RFA	The RFA is a noncompetitive application issued by OES.
RFP	The RFP is issued by OES to solicit competitive proposals relating to new funding.
Single Source	A contract process used when one supplier can be documented as being uniquely positioned to provide the service.
Sole Source	A contract process used when a specific supplier can be identified as the only supplier able to provide the services required by the department.
Supplanting	To reduce federal, state, or local funds due to the existence of OES funds. Supplanting occurs when a grantee deliberately replaces its non-OES funds with OES funds, thereby reducing the total amount available for the stated purpose.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

RATING FORM

	Control #:	
	Rater #:	
APPLICANT:		
FUNDS REQUESTED:		
PREFERENCE POINTS	2%	5%

<u>CATEGORY</u>	<u>TOTAL POINTS POSSIBLE</u>
1. PROBLEM STATEMENT	180
2. PLAN and IMPLEMENTATION	360
3. BUDGET.....	60
4. COMPREHENSIVE ASSESSMENT	110
TOTAL	710

Each of the above categories contains questions that are assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. The response to each question is evaluated on the following criteria:

- I. ABSENT:** Answer does not respond to the particular question or was left blank entirely.
- II. UNSATISFACTORY:** Does not completely respond to the question. Information presented does not provide a good understanding of applicant's intent, does not give detailed information requested by the RFP, or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY:** Responsive to the question. Provides a good understanding of the applicant's intent. Response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE:** Above average response gives a clear and detailed understanding of the applicant's intent. Response presented a persuasive argument supporting the proposal and the intent of the program.
- V. EXCELLENT:** Outstanding response with clear, detailed and relevant information exceeding the information requested. Response presented a compelling argument supporting the proposal.

	I	II	III	IV	V
1. PROBLEM STATEMENT (Maximum 180 points)					
a. How well does the applicant describe the population to be served in the service area?	0	5	10	15	20
b. How well does the applicant describe the prevalence and types of child abuse in the service area?	0	5	15	25	35
c. How well does the applicant describe the prevalence of social problems encountered by youth/adolescents in the service area?	0	5	15	25	35
d. How well does the applicant provide an analysis of the current child abuse services and resources available in the service area?	0	5	15	25	35
e. How well does the applicant describe the types of services needed to better address the victimization of children in the service area?	0	5	25	40	55
2. PLAN AND IMPLEMENTATION (Maximum 360 points)					
a. How well does the applicant describe its plan to meet the needs of infants, toddlers, preschoolers, school-aged children, and youth/adolescents?	0	5	10	15	20
b. How well does the applicant describe its ability to reach children with disabilities, children in the county child welfare system, children who are dependents of the court, children in the county juvenile probation system, and children within the tribal community?	0	5	10	15	20
c. How well does the applicant describe the sources of referrals and its use of OAs to generate referrals?	0	5	10	15	20
d. How well does the applicant describe its ability to coordinate with other agencies offering services to child victims of abuse, and agencies offering services to children with domestic violence at home?	0	5	10	15	20
e. How well does the applicant describe its intake process and the handling of initial contacts?	0	5	10	15	20
f. How well does the applicant describe its use of standardized assessment instruments?	0	5	10	15	20
g. How well does the applicant describe its ability to assess American Indian child victims, and children with disabilities?	0	5	10	15	20
h. How well does the applicant describe its ability to address the multiple needs presented by child victims?	0	5	10	15	20

2. PLAN AND IMPLEMENTATION (cont'd.)

i.	How well does the applicant describe its experience in providing services to child victims of abuse, neglect, and exposure to domestic violence?	0	5	10	15	20
j.	How well does the applicant describe its experience in operating a child abuse treatment program during the past five years?	0	5	10	15	20
k.	How well does the applicant describe its projections to expand and enhance its already existing child abuse treatment program?	0	5	10	15	20
l.	How well does the applicant describe its process to formulate an appropriate treatment plan and the expertise of its clinical staff in treating child victims of abuse and neglect, and/or the use of culturally centered therapy?	0	5	10	15	20
m.	How well does the applicant describe its case conferencing process, use of supervision and/or consultation, and process for evaluating treatment progress and effectiveness?	0	5	10	15	20
n.	How well does the applicant describe its ability to address the legal and ethical issues related to the provision of therapy to child victims including obtaining informed consent and limitations of confidentiality, as well as the security of confidential client records?	0	5	10	15	20
o.	How well does the applicant describe its ability to collaborate with schools, county child welfare service agencies, county juvenile probation, judicial system, and other agencies involved with the child victim such as acute medical facilities and hospitals?	0	5	10	15	20
p.	How well does the applicant describe its experience in administering previous grants?	0	5	10	15	20
q.	How well does the applicant describe its ability to provide advocacy and support services and types of advocacy and support services in conjunction with the therapy?	0	5	10	15	20
r.	How well does the applicant describe how the AI CHAT project will be incorporated and administered within the organization?	0	5	10	15	20

3. BUDGET, including budget narrative (Maximum 60 points)

a.	How well does the budget narrative support the proposal objectives and activities, and the intent and requirements of the program?	0	5	10	25	30
b.	How well are the funds allocated in the Budget Category Forms? How well do the line items support the proposal plan, objectives, and activities of the program?	0	5	10	25	30

4. COMPREHENSIVE ASSESSMENT (Maximum 110 points)

How well does this proposal support the overall intent, goals, and purpose of the AI CHAT program?	0	5	50	80	110
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SUMMARY OF PAST PERFORMANCE POLICY

(Effective February 2003)

The following is a summary of OES' Past Performance Policy. A complete copy may be obtained by sending a request to the attention of the Deputy Director of Criminal Justice Programs Division:

Governor's Office of Emergency Services
Criminal Justice Programs Division
P.O. Box 419047
Rancho Cordova, CA 95741-9047
Attn: American Indian Child Abuse Treatment Program – Children's
Section
Fax: (916) 327-5674

1. General Policy

This policy is intended to result in a penalty to existing grantees that have serious performance problems and is to be utilized only in connection with the RFP process and the awarding of grants for new funding cycles. It has been developed in consultation with OES' advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process;

Level B: 10% point reduction of total possible points from an applicant's score.

3. Standard For Invoking This Policy

The standard for invoking either penalty is whether the applicant's compliance with grant terms and conditions falls **significantly** below average — far below the level to be expected of other grantees, and not minor incident(s) of noncompliance with OES policies.

a. Serious Performance Problems That Are Eligible For Consideration

The types of performance problems that would qualify under this policy include, but are not limited to:

- 1) significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) violation(s) of material statutory requirements related to the grant;
- 3) a willful or grossly negligent violation of a material OES policy, term or condition of the grant, but only after the grantee has been provided:
 - a) technical assistance by OES, including a site visit if necessary, to remedy the violation;
 - b) at least one written notice (per violation); and
 - c) a reasonable opportunity to remedy the violation.

Any such notice will be provided to the grantee's executive officer and will specify that failure to remedy the violation may negatively impact the grantee's eligibility for future funding, including disqualification from the next RFP process.

It is not necessary for a criminal conviction to have occurred for OES to consider actions that appear to constitute fraud, embezzlement, mishandling of funds, or other types of statutory violations. OES must only have reliable evidence that this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) the seriousness of the problem(s);
- 2) whether the problem or problems identified were intentional;
- 3) whether the problem or problems reveal dishonest behavior by the applicant;
- 4) whether the interests of the State or the public were harmed by the problem or problems;
- 5) whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) whether the problem has been documented objectively; and
- 7) whether OES has attempted to assist the grantee in remedying the problem.

c. Specific Examples

All performance problems should be considered on a case-by-case basis, with the totality of the circumstances to be considered. The following examples are not intended to be binding or in any way restrictive of OES' authority to determine the appropriate penalty in any particular case:

- 1) OES conducts a monitoring visit of Project Z, and makes the following findings:
 - a) the shelter failed to pay overtime on two occasions;
 - b) three timesheets did not contain a supervisor's approval; and
 - c) the project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the project takes steps to implement the monitoring recommendations. A follow-up with the grantee four months later shows that the monitoring findings have been corrected.

Penalty: None

- 2) During an audit, it is discovered that a year ago an employee of Project V has embezzled \$300 of OES funds. The audit concludes that this occurred in part because of inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The grantee has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the grantee are known.

Penalty: Level B

- 3) Project Y has agreed to provide victim advocacy services in County X. The project spends \$40,000 on other things and provides no such services, as documented in the monitoring report. However, the project still writes that the services are being provided on its OES reports. OES refers the matter to the district attorney for prosecution, but no additional steps have yet been taken.

Penalty: Level A

5. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to applicant denying funding due to past performance problems. The applicant shall be provided with a summary of why the performance problem penalty was invoked. An applicant is entitled to appeal this denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.